

UNIVERSIDADE FEDERAL DE SANTA CATARINA
PÓS GRADUAÇÃO EM LETRAS/INGLÊS E LITERATURA CORRESPONDENTE

INTER-INSTITUTIONAL AGREEMENTS FOR ACADEMIC INTERNATIONAL
COOPERATION: A DISCURSIVE INVESTIGATION OF ROLES PRESCRIBED TO
HIGHER EDUCATION INSTITUTIONS

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Tese submetida à Universidade Federal de Santa Catarina em cumprimento parcial dos
requisitos para obtenção do grau de

DOUTOR EM LETRAS

FLORIANÓPOLIS

August 2005

I dedicate this work to my dearest two-years old
little daughter, Manuella Salm Coelho
for all her love.

ACKNOWLEDGEMENTS

I would like to thank

My advisor, Dr. José Luiz Meurer for his inestimable cooperation and patience.

Dr. Mailce Borges for her attention and support as the coordinator of the PGI.

Dr. Viviane Maria Heberle, Dr. Hilário Bohn, Dr. Bernadete Passold, Dr. Pedro Garcez for being such dedicated teachers during the masters and doctoral program.

Universidade Federal de Santa Catarina

My colleagues at Universidade Federal de Santa Catarina

To Faubai, in special, Professora Sonia Laus, for having contributed both with her insights about cooperation and to facilitate my data collection, without which this study would not be carried out.

Dr. José F. Salm and Rose Salm, my brothers and sister in law, in special Vanessa Marie Salm, Amanda Salm Schlemper and Maria Eduarda Salm Schlemper for all their love and support.

I would like to express my gratitude to all of those who encouraged me to carry out this study and those who directly or indirectly contributed to the development of this work. Angelize Pde. João Francisco Salm, my colleagues from Focolares, Fernando Gonçalves, João Batista Salm.

My special thanks to my teachers Dr. Hilário Bohn, Dr. Bernadete Passold, Dr Viviane M. Heberle, Dr. Loni Taglieber, Prof. Tania Quintanilha, Prof. Arlene Rodrigues, Prof. Maria Alvaro, in special Prof. Nancy Miller, for having so endlessly supported and encouraged me since my undergraduate studies.

ABSTRACT

Inter-institutional Agreements for Academic International Cooperation: a discursive investigation of roles prescribed to higher education institutions

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2005**

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The Scientific and Technological Agreements for International Cooperation (STAICs) between higher education institutions, and/or technical educational institutions and/or business institutions is part of the discourse of higher education, and constitutes an element of strategic importance in the process of the internationalization of higher education. However, there is little information about the relation between the language used in the academic agreements and the practices they represent. In order to contribute to this area of research, ten (10) STAICs between 5 Brazilian Higher education institutions and 7 foreign education institutions were analyzed in order to make a description of textual and contextual elements of this particular discourse. Regarding their configuration as a text, the STAICs were investigated in terms of their generic structure potential. Transitivity choices and instances of modality were analyzed in order to look at, respectively, the representation of the universities in relation to the roles prescribed to them and their level of commitment towards those roles. Regarding contextual concerns, the STAICs were analyzed in terms of the power relations considering the performance of the participating universities in the enactment of those roles. The analysis draws on genre analysis (Hasan, 1985a, 1994, 2004), other genre studies (Meurer, 1998, 2002), Halliday's (1994; Halliday & Matthiessen, 2004) Systemic Functional Grammar, notions from Giddens' (1979, 1984) Structuration Theory and the Law of the Subsidiary Character of the Scientific Production from Ramos' (1965) Theory of Sociological Reduction. Results have provided linguistic grounds to characterize this discourse as a type of promotional discourse as well as to show hidden evidence of power relations between its discourse participants.

The results are expected to contribute as support for the fields of EFL teaching, Applied linguistics, Discourse Analysis including ESP and Business English, and Social Sciences.

Key Words: Genre, Scientific and Technological Agreements for International Cooperation, Role Prescriptions, Power relations.

Resumo
**Os convênios Inter- institucionais de Cooperação Acadêmica Internacional: uma
investigação discursiva dos papéis prescritos às instituições de ensino superior**

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Os Convênios Inter- institucionais de Cooperação Acadêmica Internacional (CCTCIs) entre instituições de ensino superior, e/ou instituições de ensino técnico, e/ou instituições de negócio, considerados parte do discurso da educação superior, constituem elemento de importância estratégica para o processo de internacionalização do ensino superior. Entretanto, existe pouca informação sobre a relação existente entre a linguagem usada nesses acordos e as práticas por ela representadas. Para contribuir para essa área de estudo, a presente tese investiga dez (10) CCTCIs entre 5 instituições de ensino superior Brasileiras e 7 instituições de ensino superior estrangeiras, com o objetivo de descrevê-los em relação ao contexto em que são encontrados e como um tipo de discurso e gênero textual. Em termos textuais, foram analisadas a estrutura genérica potencial (GSP), as escolhas de transitividade e de modalidade para observar, respectivamente, como estão representados os papéis dos participantes desse discurso e o nível de comprometimento desses participantes com o desempenho desses papéis. Em termos contextuais, investigou-se a relação de poder entre os participantes do discurso através da análise do desempenho das universidades na execução dos papéis prescritos a professores e alunos nas atividades acadêmicas propostas nos STAICs. O trabalho fundamenta-se na teoria da estrutura genérica potencial (GSP) de Hasan (1985a, 1996, 2004) e em outros estudos de gênero (Meurer, 1998, 2002), na gramática sistêmica funcional de Halliday (1994; Halliday & Matthiessen, 2004), nos conceitos da Teoria de Estruturação de Giddens (1979,1984) e na Lei do Caráter Subsidiário da Produção Estrangeira da Teoria da Redução Sociológica de Ramos (1965).

Os resultados obtidos caracterizam os textos como um tipo textual promocional e mostram evidências ocultas da relação de poder entre os participantes desse discurso. Os resultados deste estudo visam a contribuir para as áreas do ensino de Inglês como língua estrangeira, Lingüística Aplicada, Análise do Discurso, incluindo a área de ensino de Inglês para propósitos específicos e Inglês comercial, e as Ciências Sociais.

Palavras Chave: Gênero textual, convênios Inter-institucionais de Cooperação Acadêmica Internacional, prescrição de papéis, relações de poder.

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Chapter 1

Introduction

“Trata-se até de uma questão de sobrevivência, ou seja, é necessário internacionalizar para poder competir em níveis de igualdade com as melhores instituições de ensino superior nacionais e estrangeiras” (Stallivieri, 2005, p.15)

1.1 Preliminaries

The first Universities, which appeared during the middle ages, constituted organizations formed by teachers (magistri) and students from all over Europe. According to Stallivieri (2004), from the very beginning, the Universities have shown an international character. The Universities aimed at analyzing the universality of knowledge and, due to this fact, students moved to different nations to deal with matters related to knowledge.

This international character through the presence of foreign students provided the universities a certain prestige. This student mobility was brought about by a certain need to seek new knowledge of new discoveries in the different parts of the continent.

Nowadays, it is also a common practice in Brazilian universities as well as in foreign universities to instigate the participation in and settling of Scientific and Technological Agreements¹ for International Cooperation (STAICs hereafter), aiming at developing research, teaching and extension programs through the exchange of teachers, students, researchers, research and academic materials. Such practice coincides with the actual

¹ In this work the words ‘covenant’ and ‘agreement’ ‘inter-institutional agreements’ ‘scientific and technological agreements for international cooperation’, ‘collaboration agreements’, ‘sister agreement’, etc, will be used interchangeably unless advised on the contrary. It is important to mention that certain Brazilian institutions as well as foreign ones use different names to refer to these academic inter-institutional cooperation agreements.

objectives of the academe. Thus, STAICs between higher education institutions, and/or technical educational institutions, have long endured as a common practice within the academe, also motivated by the need for transfer of science and technology.

In the so-called era of ‘knowledge’ and ‘information’, many discussions on the future of higher education proposed by UNESCO (www.unesco.org - accessed May 2nd 2003) and experts from the World Bank about higher education institutions’ role and function have considered issues such as the fast world transformations, the globalization process, and the technological revolution. Some of these discussions have centered on the process of the internationalization of higher education as a means to enhance its quality. The scientific and technological cooperation between and among higher education institutions has been taken as one of the factors that may contribute to some challenges the higher education system worldwide has come to face. In Brazil, as states Stallivieri (2004, p.45), especially in the last decade, there has been noticed a significant raise in the number of documents signed between Brazilian and foreign universities, with special emphasis paid to the cooperation between universities from North America and South America (my translation).

Although recent studies have addressed the issue of the language used in business and educational contexts (e.g., Dudley Evans Dudley Evans and St. John, 1998; Ellis and Johnson, 1994; Motta-Roth, 1995; Fairclough, 1992, 1995), much still remains to be investigated. For instance, to the best of my knowledge, regarding the discourse of education, more specifically certain discursive practices such as the inter-institutional academic agreements, up to now, no literature has been found available which investigates the dialectic relation between the language used in these texts and the related social practice. So, this work takes a step forward in investigating the language used in the

STAICs among Brazilian and foreign educational institutions and how they reflect and mold the cooperation practices.

Understanding how language works is important for everyone in any context, including of course business students and language teachers and students in general. As stated by Meurer (2000), understanding how language works means becoming more aware of how language use constitutes a form of social practice. Past research (e.g., Caldas-Coulthard, 1988; Kress, 1989; Fairclough, 1992; Heberle, 1997; Meurer, 1998, 2000) has shown that language use is at the same time a reflection of larger social structures and it has the power to create our identities, determine what we do and what can be done. Moreover, a large amount of "the knowledge we have, our professional identity, our professional relationships, and our lives are constituted through textual genres" (Meurer, 2000, p.152, my translation) in the form of written language. It is indispensable, as well argued by Meurer (2000, 2004) and Freeman and Medway (1994), for example, that the greatest number of genres be investigated in order to understand how they are inserted within different social structures and how they reflect these structures. Among these genres are the business letters, prospectuses, and the scientific, or administrative genres that belong to higher education organizations, such as the STAICs.

As mentioned previously, Universities as organizations where knowledge is produced have for long now contributed to unite people all over the world. Due to this process, it is important to investigate the bi-directionality between the language used in these texts and their related practices specifically in order to investigate how the academic roles of the universities involved are represented, as they constitute the actors responsible for integrating cultures and people, as well as their level of commitment towards the enactment of these roles.

The process of internationalization has grown rapidly, and the participation of the universities all over the world in this process, in special of poorer countries, has become vital for their survival. The participation of the universities in this process constitutes a strategic means to face the challenges impinged upon them by modern times. According to Stallivieri, (2004, p. 47) universities have sustained certain practices such as the STAICs as one means to open their doors to internationalization. The reason it does so is because the majority of these agreements foresees items which are strategic for cooperation, such as: it stimulates proximity between researchers aiming at creating centers of excellence in determined areas through the socialization of knowledge; it favors student exchange, creating opportunity to carry out learning experiences in different institutions aiming at recognizing the studies made, as well as the attainment of diplomas that may be valid in both institutions involved; it also optimizes the mobility of students and faculty, and finances research projects of great repercussions (my translation). However, up to now, very little has been written on how the STAICs have been discursively represented, i.e., how balanced the relation between and among these institutions is in what concerns their participation in the academic roles for the exchange of science and technology. Moreover, little do we know about how practices such as the STAICs, as an academic institutional ritual, effectively contribute to the maintenance of cultural diversity and consequently for the scientific, technological, social and economic development of the participating countries, in special countries such as Brazil.

1.1 Purpose of the study

Considering the importance and relevance attributed to the process of internationalization of the higher education, and the mutual exchange of scientific and technological knowledge among institutions worldwide promoted by the STAICs as one strategic means by which the universities may participate in this process, this work aims at investigating the bi-directionality between the language used and its related social practice by describing the STAICS as a genre. First, it aims at investigating and describing the obligatory and optional elements of its generic structure potential in order to investigate how this discourse is organized. Second, it aims at investigating and describing what transitivity features characterize this text, i.e., which processes, participants and circumstances make up this practice. Third, it aims at looking at what the lexicogrammatical evidence reveals about the roles ascribed to discourse participants and how balanced their relationship is considering the level of commitment of the participating universities in relation to the enactment of these roles. Last, it aims at discussing whether the discourse of the STAICs may be characterized as a form of promotional discourse and what ideological assumptions may be hidden in this discourse type.

More specifically, the following questions guide this research:

1. Do the STAICs have one specific kind of overall organization? What are the obligatory and optional elements in these texts?
2. What transitivity features characterize these texts? Which processes, participants, and circumstances are recurrent in the investigated agreements?
3. What are the roles ascribed to the participants of this discourse?
4. What does the lexicogrammatical evidence reveal regarding the positioning, and interpersonal relations of the participants in this discourse? What is the level of commitment of the institutions involved in relation to the enactment of the roles prescribed to them?
5. Can the scientific and technological agreements for international cooperation be characterized as a form of promotional discourse?
6. What ideological assumptions may be hidden in this type of discourse?

1.2 Reasons for the selection of the STAICs

The Scientific and Technological Agreement for International Cooperation plays an integrating part in higher education institutions. As a lecturer at Centro de Educação Superior – UNICATUPY and a Doctoral degree student at Universidade Federal de Santa Catarina, I am interested in developing an in-depth understanding of cooperation agreements in higher education due in this globalized world.

The academic agreement is a common and well-known form of academic collaboration between national and foreign higher education institutions. Various universities establish cooperation with foreign universities involving various types of academic activities (Stallivieri, 2004, p.45). However, specifically in relation to the inter-institutional agreements, some questions still prevail: What is, in fact, exchanged in the STAICs? Who is the importer of knowledge and who exports knowledge, why? What roles are ascribed to the universities participating? How effectively committed are the participating universities in performing the roles ascribed to them? What power relations and/or ideological beliefs, if any, are hidden in this discourse?

It is hoped that by looking at the selected STAICs, this study will show the bi-directionality between language and social structures by investigating how the higher education institutions in the agreements and their participatory position are discursively represented in these specific texts. Thus, it hopes to unveil and answer questions related to power relations, and ideological and hegemonic variables imbued in this type of discourse.

1.3 Methodology

Ninety-one STAICs were randomly collected from the year 2000 to the year 2002, from different higher educational institutions in Brazil. For the purpose of this work, ten STAICs between Brazilian Federal, State and Private institutions and foreign institutions were chosen to constitute the samples for the genre analysis. These agreements, collected from the offices of international affair from Brazilian Universities, are agreements held between Brazilian educational institutions and foreign countries educational institutions. The scientific and technological agreements involve different areas of knowledge, such as languages, Law, Physics, Engineering, Agroforestry, Forestry, Natural Resource Management and Conservation, Rural Sociology, Food Science, Animal Science/Reproduction, Humanities, Environment Engineering, Social Sciences, Administration, Tourism, Catering, International Marketing, Information System in Marketing, International Transportation, International Trade Company Management (import/export), Education, Agrarian Sciences, Oceanography, Health, Public Health, Biologic Sciences and Applied Social Sciences, Arts, Linguistics, Automation, and Computer Science.

Data was qualitatively analyzed using more than one theoretical perspective, genre analysis (Hasan, 1985a, 1996, 2004; Meurer, 1998, 2000, 2002); Systemic Functional Grammar (Halliday, 1994); and Strucutrations Theory (Giddens, 1979, 1984) and Ramos' (1965, 1996) Theory of Sociological Reduction.

For methodological² procedures, I draw on Hasan's (1985a; 1996, 2004) Generic Structure Potential to investigate the distinct linguistic patterning and discourse elements, which correspond to the stages of the activity (genre) being analyzed, the aim being to describe the generic structure potential of the STAICs.

The analysis focuses on the obligatory and optional elements in the STAICs. For the analysis of the linguistic elements, I also look at the lexico-grammatical choices made, including under this category both lexical items and grammatical structures (verbs, nouns, and adverbs, modals) selected by the writers to compose and organize their agreements. I concentrate in these items because it is through them that the institutions involved and their academic roles and interpersonal relations are represented. Furthermore, it is also through them that their ideological position and attitude towards these educational practices in higher education is expressed.

More specifically, I draw on Halliday (1994, 2004) system of transitivity. For each category of analysis, the systems of transitivity and modality (Halliday, 1994, and Halliday & Mathiessen, 2004) were used as tools of analysis.

2 More detailed methodological procedures as well as further theoretical specifications may be presented in Chapters 3,4 and 5.

Firstly, transitivity, encoding the ideational metafunction, was used to investigate the processes, participants, and circumstances. Moreover, issues pertaining to the representation of the STAICs were clarified. Specifically, the concept of ‘role prescriptions’ (Giddens, 1984) was used in order to look at the representation of the roles and attributes ascribed to the faculty, students and the staff members of the participating institutions in the different categories of academic activities proposed in the elements of the STAICs. Secondly, I draw on the analysis of modality, which encodes evaluative aspects of the interpersonal metafunction, in order to tackle the interpersonal meanings the participants construe in language to investigate how responsibility is attributed to participants in this social process, who participates more in the enactment of the academic roles prescribed, how, and why. Giddens’ (1979,1984) Structuration Theory concepts of ‘rules and resources’ and ‘power’ (Meurer, 2004) were incorporated to the analysis of modality in order to investigate issues of power relation between and among participants.

Finally, I draw on Longacre (1983) in order to discuss the promotional character of the STAICs and I draw on Ramos’ (1965, 1996) Theory of Sociological Reduction, ‘the Law of The Subsidiary Character of Foreign Scientific Production’ in order to discuss questions related to the ideological implications imbued in this discourse.

1.4 Outline of the Thesis

Chapter one concentrates on the initial remarks, purpose of the present study, its research questions and reasons for the selection of the agreements. It also describes the method and provides an outline of the chapters.

Chapter 2 concentrates on the general theoretical rationale. It presents information on Systemic Functional Linguistics, Genre Studies, Generic Structure Potential, and language and context. Concepts from the Structuration Theory (Giddens, 1979, 1984) and Ramos' (1965, 1996) Theory of Sociological Reduction will also be presented.

Chapter 3 concentrates on the scientific and technological agreements as a genre. The obligatory and optional elements (Hasan, 1985a, 1996, 2004) of the STAICs are presented. A discussion of these elements is also provided in relation to their linguistic representation and contextual variables.

Chapter 4 examines the representation of the STAICs. The analysis of transitivity, i.e., the processes, participants and circumstances represented in the agreements are presented. Questions related to the discursive representation of the attributes and roles ascribed to the social participants of the agreements are discussed.

Chapter 5 presents an analysis of modality and its implication for the positioning of discourse participants in relation to the roles ascribed to them in the proposed categories of academic practices. Questions related to power relation between discourse participants in the various categories of academic activities, as well as those pertaining to the promotional character and ideological implications of this discourse are discussed.

Finally, Chapter 6 presents the final considerations of the study and provides suggestions for further research and the pedagogical implications of the work.

Chapter 2

General Theoretical Rationale

“À luz da redução sociológica, toda produção científica é, em princípio, subsidiária”
(Ramos, 1965, p.120)

2.1 Introduction

In this chapter, I present the theoretical rationale that has guided this study. First, I will briefly discuss Systemic Functional linguistics, then, I will define the concept of genre in relation to the Systemic Functional tradition. Next, I will briefly discuss the Generic Structure Potential as an approach to describing the Generic Structure Potential of the STAICs. I will also review some of the studies on Systemic Functional Linguistics developed in Brazil in this area. Finally, I will present the works by Giddens (1979/1984) and Ramos (1965) as constituting the analytical endeavours for the analysis of the STAICs in relation to their broader context of culture.

2.2 Systemic Functional Linguistics

This study brings in Halliday’s Systemic Functional Linguistics (SFL) model of text analysis as a workable theoretical framework for the analysis of the agreements. SFL follows these theoretical premises: Firstly, it interprets language as being a system network of meanings and describes language as consisting of various systems, each having a set of features which are in contrast with one another. SFL, thus, accounts not only for

paradigmatic relations of systems, but also for syntagmatic relations of structure and sequence. Secondly, it investigates texts in relation to the elements of its contextual configuration, namely, tenor, field and mode. This involves background information such as who the text is written for, what the text is about, and the role language is playing.

In addition, seen from a genre-analytic perspective, SFL not only provides the tools for a detailed description of the rhetorical functions and linguistic structures of English (Halliday, 1994; Halliday & Matthiessen, 2004), but goes further and relates the contextual dimensions of register/genre to the semantic and grammatical organization of language itself. Similarly, it provides grounds to develop detailed specifications of the staging structures and realizational features of different genres, thus providing replicable accounts of different genres in a culture and of similar genres across cultures. Finally, a further dimension of this approach is that it takes the contextual explanation a step further, as proposed by Meurer (2004), Hasan, (2004), Chouliaraki and Fairclough (1999, p.106) by recognizing that the differences between texts are also the reflection of broader cultural ideological and hegemonic dimensions.

Systemic Functional Grammar (henceforth SFG) interprets language "as a system of meanings, accompanied by forms through which the meanings can be realized" (Halliday, 1994, p.xiv). Hallidayan Systemic Functional Grammar considers language functional because it is used to realize different social functions; it is systemic because it involves networks of choices and options used to create different meanings.

SFG views language as an expression of three different yet interconnected levels: context of situation, semantics and lexicogrammar. It establishes that languages codify the context of situation by means of lexicogrammar, as shown by Heberle (1997) in the chart that follows.

CONTEXT OF SITUATION	SEMANTICS	LEXICOGRAMMAR
FEATURE IN THE CONTEXT semiotic structures of situation	LANGUAGE FUNCTION functional component of semantics	(RANK: CLAUSE) lexicogrammatical choices
FIELD OF DISCOURSE (what is going on) the ongoing social activity	IDEATIONAL MEANINGS ideational content	TRANSITIVITY STRUCTURES clause as representation
TENOR OF DISCOURSE (who is taking part) the role relationship involved	INTERPERSONAL MEANINGS personal interaction	MOOD STRUCTURES clause as exchange
MODE OF DISCOURSE (role assigned to language) symbolic or rhetoric channel	TEXTUAL MEANINGS Textual structure	THEME STRUCTURES clause as message

Figure 2 – Context of situation, semantics and lexicogrammar (Heberle, 1997)

The context of situation consists of field (ongoing social activity), tenor (role relationships involved), and mode (symbolic or rhetorical channel). These categories are linked semantically to the ideational, interpersonal and textual metafunctions, realized through the corresponding systems of lexicogrammar - Transitivity, Mood, and Theme. The field, tenor and mode determine the ideational, interpersonal and textual options of the semantic system, these elements being interconnected.

The clause reflects the language metafunctions and its corresponding feature in context. The lexicogrammatical choices realize functional components of semantics and

corresponding semiotic structures of the situation. As stated by Halliday (1994) "as well as being a mode of action, of giving and demanding goods-&-services and information, the clause is also a mode of reflection, of imposing order on the endless variation and flow of events" (p.106).

The clause stands as "... the central processing unit of a language, where meanings are accepted from different metafunctional inputs and spliced together to form integrated outputs, or meanings" (Halliday, 1994, p. xxxiv).

The clause may be analyzed as representing reality by the investigation of its transitivity system. It is through the ideational function of language that the language user realizes his/her experience of the world (Halliday, 2004). It is how human experience and knowledge of the world is represented (Fairclough, 1993a, p.136). Also the clause may be analyzed as exchange to show its various interpersonal meaning through the analysis of its mood structures. The interpersonal function is the realization of the language user's attitude, comments, and evaluations. The analysis of the interpersonal function evinces the establishment of human relationships. The textual function is related to the basic text structure and cohesion (Bloor and Bloor, 1995), the relation between sentences in a text, as a meaningful functional-semantic unit, as well as the overall organization.

As already mentioned, this study investigates the ways in which the attributes and roles ascribed to the social participants in the STAIC are represented by looking at its ideational meaning through the analysis of the transitivity system and at the interpersonal meaning, i.e., at the power relation between the participants in the investigated cooperation through the analysis of Mood structures.

2.2.1 Transitivity as a category to represent patterns of experience

According to Halliday, “transitivity is a system of the clause, affecting not only the verb serving as Process but also participants and circumstances” (Halliday & Matthiessen, 2004, p.181). In his system of transitivity, there are different types of processes that represent reality. In the STAICs, for example, the institutional actions are represented, on a large scale, linguistically by the actions of doing, involving all the participating institutions.

Fairclough (1992, 2003) also states that the analysis of the system of transitivity (Halliday, 1994; Halliday & Matthiessen, 2004) may serve as tool to “see whether particular process types and participants are favored in the text, what choices are made in voice (active or passive), and how significant is the nominalization processes. A major concern is agency, the expression of causality, and the attribution of responsibility.” (Fairclough, 1992, p.235-236). In the selected STAICs, the attribution of responsibility is investigated through the analysis of transitivity and Giddens’s (1984) concept of ‘role prescription’ in order to look at the roles ascribed to the participating universities and the level of commitment of these institutions in the enactment of these academic roles. Moreover, Fairclough (1992) further asserts that it is also through the analysis of transitivity that discourse analysts are able to interpret, describe and criticize the ideological insinuation of discursive events imbued in the linguistic choices of processes, participants and circumstances.

According to Halliday (1994), our doings, feelings and beings are represented linguistically in the clause. Our experiences and reality are thus encoded in the clause by

means of the linguistic choices of participants, processes and circumstances. Therefore, for Halliday (1994), the clause is considered the most important grammatical unit.

According to Halliday (1994; Halliday & Matthiessen, 2004, p.178) “the concepts of process, participant and circumstance are semantic categories which explain in the most general way how phenomena of our experience of the world are construed as linguistic structures.”

The different categories of processes established by Halliday’s (1994; Halliday & Matthiessen, 2004) grammar are: mental, material, relational, verbal, behavioral and existential. The material processes are the actions of doing, the mental processes reflect our mental processes, the relational processes relate and identify entities, the behavioral processes are related to our behavior processes, and the existential ones are related to the processes of existence, as we explain further below:

Mental processes

Mental processes deal with human ways of thinking about the world. Through these processes it is possible to represent wishes, and values. These are the processes of sensing (Halliday, 1994) and perception, affection and cognition. The grammatical participant is the Senser. The Senser is the ‘conscious being, human or human- like, who is feeling, thinking or seeing, and the phenomenon, that which is sensed (Halliday, 1985, p.111).

For example:

The University of Calgary and The University of São Paulo recognize the mutual benefits to be gained through international scholarly cooperation.

Material processes

Material processes refer to the doings of an entity. In relation to the STAICs, the proposals for academic activities may be represented by actions of doing. According to Halliday (1985, 1994), the participants in the material processes are called ‘Actors’ or ‘Agent’ of the action. The ‘Goal’ is the participant to whom the process aims at.

According to Halliday & Matthiessen (2004, p.179):

In a material process, “the Actor is the one that does the deed – that is, the one that brings about change.”

In the STAICs, the Actor may be exemplified by:

Ex.: Either university may initiate proposals for activities under this Agreement through the contact persons indicated in article 3.0. (T2)

In the example above, ‘either university’ is the Actor of the process, ‘initiate’ the material process, and ‘proposals for activities’ is the goal and ‘under this Agreement through the contact persons indicated in article 3.0’ is the angle circumstance.

Relational Processes

Relational processes establish a relation between entities in order to classify, relate or identify things and attributes.

According to Halliday (1994):

Relational processes are the linguistic processes, which establish a relation between entities, which identify or classify things, which ‘relate one fragment of experience to

another'. They serve to characterize and to identify (Halliday, 2004, p.210). The verbs that occur most frequently as the Process of a 'relational' clause are 'be' and 'have' (Halliday, 2004, p.214).

Ex.: The program *will be* open to students enrolled on undergraduate or postgraduate courses at either University, for a semester or year of academic study. (T3)

Here 'be' is the relational process, which relates the carrier 'the programs' to its attribute 'open'. There are three kinds of relational processes, the attributive mode:

Intensive: "In the attributive mode, an entity has some class ascribed or attributed to it" (Halliday & Matthiessen, 2004, p.219). Structurally, the class is labeled the ATTRIBUTE, and the entity to which it is ascribed is the CARRIER – the 'carrier' of the 'attribute'. According to Halliday & Matthiessen (2004, p.219), "this type of clause is a resource for characterizing entities serving as the Carrier"; and it is also a central grammatical strategy for assessing by assigning an evaluative Attribute to the Carrier.

The relational processes are either identifying or attributive. "In the 'attributive' mode, an entity has some class ascribed or attributed to it. Structurally, we label this class the **Attribute**, and the entity to which it is ascribed is the **Carrier** – the 'carrier' of the 'attribute'. (Halliday & Matthiessen, 2004, p. 219).

According to Halliday & Matthiessen (2004, p.219) "this type of clause is a resource for characterizing entities serving as the Carrier; and it is also a central grammatical strategy for assigning an evaluative Attribute to the Carrier."

In the STAICs, the circumstantial types recur as shown in the examples below:

Ex.:...the period of stay at the host Institution is *usually from one to four weeks or longer*

Here the circumstance of location ‘usually from one to four weeks or longer’ refers to the period of time in which a certain academic practice may last. A time circumstance is ascribed to ‘the period of stay at the host institution’ through the relational process ‘be’. In this case it refers to the period of stay of the students and teachers at their host universities.

Verbal Processes

Verbal processes as the name indicates are the actions of communicating. They express what is being said, complained about, discussed, asked, talked about, criticized, etc. The participants of verbal processes are called ‘Sayers’, i.e., those who say or communicate things. The content of what is communicated is referred to as both reported if it is indirect speech, quoted if it is direct speech. ‘Receiver’ is the name given to the ‘addressee’ of the message and ‘Verbiage’ refers to expressions, nominal groups whenever these substitute the clauses, for example:

Ex.: Both parties declare that *the institutions are united by common interests and objectives in academic, scientific and cultural affairs*.

Here ‘both parties’ is the sayer, and ‘declare’ is the verbal process, and ‘that the institutions are united by common interests and objectives in academic, scientific and cultural affairs’ the verbiage.

Besides the processes and the participants, transitivity also incorporates the circumstances, i.e., the time, place, reason, manner with or in which these actions

developed. These are made up of adverbials or prepositional phrases. There are nine basic types: extend (distance, duration); location (time and place); manner (means, quality, comparison); cause (reason, purpose, behalf); contingency (condition, concession, default); accompaniment (comitancy, addition); role (guise and product); matter and angle (Halliday, 1994, p.151). Next, I will discuss the meanings construed in the STAICs through the analysis of the interpersonal relations.

2.2.2 Modality as a category of interpersonal relations

Mood is the lexicogrammatical category related to the interpersonal level (Halliday, 1994). It is the category concerned with the relationship between text participants of the interaction, the way in which the writer\speaker interacts with the reader\listener.

Modality is the way in which the participating social actors, i.e, the institutions involved and their representative members teachers, students, researchers, Rectors, etc, interact. It involves their level of commitment in performing the roles prescribed to them in the STAICs. Modality, according to Halliday (1994, p.362), ‘represents the speaker’s angle, either on the validity of the assertion or on the rights and wrongs of the proposal’. So, modality is the speakers’ angles in terms of probabilities and obligation towards what is being said. The modals are taken as adjuncts to propositions and proposals (Heberle, 1997, p.162). They may be based on the speaker’s knowledge or on his/her power over the interlocutor (Heberle, 1999, p.176).

There are two kinds of modality: modalization and modulation. Modalization expresses degrees of probability, meanwhile modulation degrees of obligation and inclination.

Modulation refers to scales of obligation and inclination of proposals. It is realized by a finite operator as in ‘will’, ‘must’, ‘should’, or by an expansion of a predicator by the use of a passive verb or an adjective.

Examples of modulation realized by the finite operator ‘will’:

Students from both universities, initially from the respective Departments of Physics (as per item 2 above), *will* register in their university of origin (T7)

Each university *will* indicate the sector responsible for the Program and/or *will* designate a program coordinator to ensure that the terms of the exchange are fulfilled. (T3)

Examples of Modulation realized by the finite operator ‘shall’:

Human, material, technological, and financial resources necessary in the execution of projects to be developed under the terms of this agreement *shall* be provided for by the three universities, as appropriate and available, from their own resources. (T6)

All arrangements *shall* be negotiated in each case between the individual student and the exchange program coordinator at the home university.(T7)

Examples of Modulation realized by the finite ‘must’:

The host institution *must* issue the certificate of attendance and approval of course disciplines, according to the norms of the university.(T3)

The sending institution *must* pay for the air tickets and salary.(T1)

Modality proper is related to the degree of polarity in a proposition as ranging between ‘yes’ and ‘no’. Modulation is related to proposals, and its degree of polarity ranges between do’s and don’t do’s. So, propositions refer to the exchange of information by means of statements and/or questions. And proposals refer to the exchange of information by means of offers and commands. As stated by Halliday (1985, p.71) “the semantic function of a clause in the exchange of information is a proposition; the semantic function of a clause in the exchange of goods-&-services is a proposal.”

In the discussion of the finite verbal operator, Halliday & Matthiessen (2004) classify two systems, namely, the systems of polarity and modality. “Polarity as the opposition between positive (It is. Do that!) and negative (It isn’t. Don’t do that!); Modality as the speaker’s judgement, or request of the judgement of the listener, on the status of what is being said (It could be. Couldn’t it be?) You mustn’t do that. Must you do that?)” (p.143)

Modality is the possibilities of propositions and proposals in between the yes and no polarity. As stated by Halliday & Matthiessen, (2004, p.146-147): “...[t]hese intermediate degrees, between the positive and negative poles, are known collectively as Modality”. However, these uncertainty degrees have different meanings for propositions and for proposals.

In relation to Propositions, “the meaning of the positive and negative pole is asserting or denying. There are two kinds of possibilities: (i) degrees of probability: ‘possibly/probably/certainly’ (ii) degrees of usuality: ‘sometimes/usually/always’ (Halliday & Matthiessen, 2004, p.147)”. The term Modalization is used to refer to these degrees of uncertainty.

In relation to Proposals, according to Halliday & Matthiessen (2004, p. 147), “the meaning of the positive and negative poles is prescribing and proscribing: positive ‘do it’, negative ‘don’t do it’. Here also there are two kinds of intermediate possibility, in this case depending on the speech function, whether command or offer. (i) In a command, the intermediate points represent degrees of obligation: ‘allowed to/supposed to/required to’: (ii) in an offer, they represent degrees of inclination: ‘willing to/anxious to/determined to’ We shall refer to these scales of obligation and inclination as modulation...”.

As stated by Halliday (2004, p.147) ‘proposals that are clearly positive or negative, are goods-&-services exchanges between speaker and hearer, in which the speaker is either

(i) offering to do something, or (ii) requesting the listener to do something, or (iii) suggesting that they both do something.’ The agreements show proposals which oblige that both universities do something on an equal basis, i.e., with the same level of commitment being established jointly to both.

Halliday & Matthiessen (2004, p.148) further adds that “Modulated clauses while they occur frequently as offers, commands and suggestions regularly implicate a third person; they are statements of obligation and inclination made by the speakers in respect to others”.

In my study, I concentrate on modality, involving “the speaker’s judgements of the obligations and inclinations” involved in the choices the discourse participants make to realize their commitment to enact the academic roles proposed in the STAICs.

2.3 Genre Studies

Genres reflect social processes, and the manner in which these social processes are connected relates to texture (Martin, 1997). There are different traditions of genre analysis (Hyon, 1996), namely, The English for specific purposes (ESP), North American New Rhetoric studies, and Australian systemic functional linguistics. It is about these traditions that I briefly review next:

Accordingly, in the ESP tradition, genre is defined by Swales (1990) as a class of communicative events sharing the same set of communicative purposes, “identified and mutually understood by members of the professional or academic community in which it regularly occurs” (Bhatia, 1993, p.13). In the New Rhetoric tradition, “a rhetorically sound

definition of genre must be centered not on the substance or the form of discourse but on the action it is used to accomplish” (Miller,1984, p. 151).

For Systemic Functional Linguists, context relates to the context of situation (register), concerned with the variables of field, tenor and mode and to the context of culture (genre). In Halliday’s model, social context comprises the social semiotic systems of register and genre. Register “describes the immediate situational context in which the text was produced” (Eggins, 1994, p.26) that relates the different uses of language in different situations. According to Hasan (1989, p.55) ‘a genre is a relatively stable category of text, characterized by specific formal properties as determined by its generic structure potential (GSP or SP for short)’. Genres reflect specific social functions and are inserted within a contextual configuration.

In the Australian systemic tradition, Genre-based pedagogy has been applied in diverse settings, the biggest projects having been conducted in Australia, where genre analysts have impacted considerably on the educational system, nationwide. Genre-based applications in Australia has been mostly directed to primary and secondary schools, and adult migrant Education and workplace training programs. The main objective was to help students master school genres. The NSW AMES (New South Wales Adult Migrant English Service) has also aligned its genre-based curriculum for workplace training initiatives motivated by the government to intensify the competitiveness of Australian industries, linked to the enhancement of “labor market productivity of migrants from non-speaking backgrounds” (Hyon,1996, p. 709).

2.3.1 Genre and Generic Structure Potential

The Generic Structure Potential of a text is its actual structure, which is constituted by the occurrence of an array of obligatory and optional elements, and their conventional ordering. These elements are referred to as ‘a limited set of actions which have some consequences in the progression of the text’ (Hasan, 1984, p.55). So, each genre is typified by a generic structure potential.

The occurrence of specific elements of text structure (section 2.5) is motivated by the contextual configuration (CC for short), i.e., a set of variables that realize field, tenor and mode (Hasan, 1989). “It is this configuration that determines the obligatory and optional elements in the text structure” (Hasan, 1989, p.55).

The element context in the configuration of context is constituted by the following variables:

‘Field of discourse – the kind of act that is being carried out and its goals (praising, blaming, informing)’. The cooperation among higher education institutions for the transfer of science and technology (Halliday, 1985, p.12).

The STAICs constitute interactions that are public documents characterized by the legitimacy of information in relation to scientific and technological agreements for international cooperation among different types of higher education institutions. They govern (formalize) the academic international cooperation between institutions for the purposes of encouraging academic activities such as for example: the exchange of scientific and technological knowledge through categories of academic activities, which may involve joint research projects, joint organization of courses, seminars and conferences, exchange of academic materials, and exchange of faculty, students and staff members. The social

participants in this discourse are expected to cooperate jointly in terms of the development of academic categories of activities proposed.

So, in the STAICs language is being used to govern and establish the terms and conditions for the development of inter-institutional international scientific, technological and cultural cooperation. It implies the elaboration of clauses that celebrate the academic, scientific, technological cooperation between and among the participating educational organizations. These clauses consider aspects such as who participates in the cooperation, what are the objectives of the cooperation, what scientific, cultural, academic projects and programs of activities shall be developed through the cooperation, which also include the rights, obligations and privileges conferred upon students and teachers participating in these programs, the duration of the cooperation, and who will be involved in the coordination and assessment of the projects.

“Tenor of discourse – the agent roles: the participants (parent and child, author and reader, etc); degree of control of one participant over another: hierarchical or non-hierarchical (friend to friend, specialist to audience, etc); social distance: minimal or maximal (participants have infrequent encounters, participants are known to each other outside that particular context, etc)” (Halliday, 1985, p.12). The universities, for example, are the main actors or social participants in the cooperation. As expressed in the macro orientations by Unesco (www.unesco.org -accessed on Nov. 2nd 2004) about the new trends for higher education in the 21st century, these institutions must draw on strategies for their internationalization that involve different modalities of actions. Starting with an internalization policy, which shows the academic cooperation as its underpinnings. Academic activities such as exchange of students, teachers and managers, the insertion of

international cooperation networks, and collaborative research projects are the means by which international cooperation should become effective (Stallivieri, 2004).

In view of this, teachers and students from all over the world with different cultural backgrounds are eligible to participate in the agreements. Different agreements foresee different academic working plans that involve the prescription of determined roles to students and teachers and staff members in the various academic cooperation programs.

In this work, as already specified, the participating Universities are Brazilian Universities and foreign Universities. The foreign Universities consist, in its majority, of North American Universities. In relation to the Brazilian Universities, the largest number of agreements were signed between Private Brazilian Universities and North American Universities.

As states Stallivieri (2004, p.45):

Especialmente na ultima década, pode-se perceber um aumento muito significativo no numero de documentos firmados entre instituições, principalmente entre os governos e entre as universidades brasileiras e as universidades estrangeiras, com especial ênfase á cooperação Norte-Sul.

“Mode of discourse – the role language is playing (constitutive or ancillary); process sharing (monologic or dialogic); channel (graphic or phonic); medium spoken-with or without visual contact, or written” (Halliday, 1985, p.12).

The mode of discourse of the agreements under investigation is characterized as a constitutive, graphic, written text. All the agreements must be in written form, they must be written in various copies in the different languages pertaining to the countries involved in the cooperation.

“While the context of situation determines the situation (in terms of field, tenor and mode) in which certain actions develop, the genres determine the language doing the work relative to that situation” (Motta-Roth, 1995 p.37).

As stated by Hasan (1996), ‘the relevant factors of the environment are causally related to the elements of the text structure’ (p.51). She further explains that ‘the text is a verbal expression of the social activity’ (p.51), adding that ‘a generalized statement of text structure can be achieved by reference to the social activity’ (p.51). It is possible to infer from Hasan’s statement that all texts show a structure: even the most informal conversation has systems of turn taking, for instance, which make up a part of its structure. The scientific and technological agreements are also organized in a determined way and their structure reflects the social academic practices represented by them. So much so that an investigation of how the scientific and technological agreements are structured will directly contribute to an understanding of their social purposes.

For Hasan (ibid) no other semiotic code replaces the role of language in the realization of texts and the elements of its structures. Hasan has developed a general approach for investigating text structure. Among the questions asked by her are: “are there any properties that a text must possess in order to be seen as an instance of a given genre?” In this research the same question is asked in respect to the STAICs.

The GSP of a text is, according to Hasan (1996, p.53), ‘an abstract category that describes all the possibilities of textual structures available within the texts’. This category may also be found in the investigated agreements.

As explained by Hasan, the GSP is meant to highlight the variant and invariant properties of textual structure within one given genre. In order to achieve the GSP all the elements of structure of the agreements whose presence is obligatory, if they are to be regarded as a complete instance of this genre by the members of the academic community; it must also enumerate all those elements whose presence is optional, so that while affecting the actual structural shape of a particular text, does not affect that text's generic status; and last, the GSP must specify the obligatory and optional ordering of the elements vis-à-vis each other, including the possibility of iteration (Hasan, 1996, p.53).

So, the GSP of a text specifies the elements that typically occur in order for a text to be recognized as a specific sample of a certain genre, and the optional elements constitute the possible variation of that genre. In the selected agreements there are obligatory elements and optional elements as we will see in chapter 3.

Hasan (1996, p.53) also emphasizes that 'the GSP is analogous to a system, while the structure of an individual text is just one possible instantiation of some particular path by the GSP'.

Each agreement investigated may then show one possible option or clustering of text structure in its overall GSP system. Therefore, the GSP carries no implications about which possible structural configuration a text is going to manifest. However, as stated by Hasan (ibid) 'a text is perceived as complete if it realizes all the obligatory elements because these are the elements that are fundamental to the generic status of the text'. So, there may be structural difference between texts of distinct genres and there may also be difference between texts of the same genre.

As can be deduced, in the GSP, the term potential implies that the combination of the obligatory and the optional elements is what identifies a given instantiation or occurrence of a certain genre. The GSP is characterized by the presence of obligatory and optional elements. It is the use of relatively fixed, obligatory elements in a certain sequence of

events that restricts a genre and allows the distinction between and among different genres (Hasan, 1996).

In addition, there may be optional elements that may occur in a given genre. There is no need for these elements to occur in all the instances of the realization of a determined genre, but they may be shared by related genres (Halliday & Hasan, 1989, p.61).

The writer/speaker in a social situation may have choices, he/she may decide to choose from within a generally fixed generic structure, i.e., within a relatively fixed range of obligatory elements. Texts that belong to such a genre might show as constituents certain semantically defined elements. The Generic Structure Potential identifies the possible sequential order and the variations of generic elements (*ibid*).

Hasan (1989, p.64) analyzes the contextual configuration of the genre ‘service encounter’ of buying and selling perishable food in face-to-face interaction between a vendor and a customer. Hasan (*ibid*) describes the field as service encounter, the tenor as institutionalized agents and the mode of discourse as a phonic channel and a spoken medium. The obligatory elements found in this particular genre were: Sales request, Sale Compliance, Sale, Purchase, Purchase Closure. The optional elements characterized by Hasan are Greetings and Finis. She characterized Sale Enquiry as a recursive element in the structure potential of this genre because it may occur at any point after Sales Request. It has the function of determining some of the attribute of the goods contemplated for purchase.

In this research, Hasan’s framework has been used in order to identify the elements of the inter-institutional agreements (obligatory, optional and recursive elements). The aim is to identify all the obligatory and optional elements in order to investigate which actions are always recurrent, which ones are optional, i.e., depend on the writers’, speakers’ choice in a

determined context, and which ones are recursive, i.e., which ones iterate in different elements throughout the development of the STAICs.

2.3.2 Review of relevant studies

In Brazil, not many works have used the Systemic approach to the analysis of texts. Among the works developed in Brazil, are: the work by Reichmann (2001) who makes a critical discourse analysis of teacher discourse of a dialogue journal. She used the interpersonal metafunction of language realized by the system of mood as tools to explore identities and relations. She investigated dialogue journals on teachers' reflections about their teaching practices by analyzing modality in order to look at how the teachers' identities, beliefs, and relations evolved throughout time. The critical work by Silva (2002) also concerns the use of systemic grammar as tools to develop a lexicogrammar analysis of the representation of the Landless Movement in Brazil.

Other works that account for the inter-relation between texts and their context of situation are the works developed at Universidade Federal de Santa Catarina: Heberle (1997, 2001), for instance, investigated editorials in women's magazines and questions of identity in the media discourse; Meurer (1998) has investigated Self-help counseling books as a promotional, hortatory and persuasive type of discourse. These works have essentially dealt with issues concerning the investigation of the use of language within their immediate context of situation in which they happen. Meurer (2002) in his critical discourse analysis of a narrative about a car accident draws on concepts from Giddens's (1979/1984) sociological theory in order to analyze issues related to the broader context of culture. The present study goes a step further by associating to the analysis of the context of culture

(genre) certain concepts and notions from Giddens' (1979/1984) Structuration Theory and Ramos' (1965) Theory of Sociological Reduction.

2.4 Language and Context

As mentioned previously the context of situation, namely, field, tenor and mode, are the variables that configure the immediate context where interaction takes place. These are important variables for the analysis of language in use. In this work, the investigation of the immediate context in which language is used in the STAICs is essential; however, broader contextual concerns are also relevant for the analysis of the STAICs.

According to Halliday (1978, p.35) context should be described 'based on some theory of social structure and social change'. However, he adds that in order to describe context it becomes necessary not simply to provide a 'social' account of language, but a 'sociological' one that draws on concepts from sociological theories.

In Brazil, for instance, genre research involving the study of the inter-relation of language use and the social context is developed by Meurer (2004) in which he explores aspects of Giddens' structuration theory as tools for the contextualization of discourse analysis endeavours. Meurer concentrates on rules and resources as structuring properties of social life and he illustrates how they may be used as an increment in analyses in Systemic Functional Linguistics and Critical Discourse Analysis.

Meurer analyzes a text by Noam Chomsky 'On the Bombings', of September 11, 2001 and discusses aspects of national identities. By the analysis of this text he is able to clearly illustrate the need to rely on some sociological criteria based on some theory of social structure and social change in order to describe the social and cultural context (Hasan

1978, p.35). Meurer (2004, p.86) suggests the term 'intercontextuality' to refer to the various contexts that intermesh to establish and be established by other texts, discourses, and social practices. He concludes that there is no delicate level of analysis available that contributes for the analysis of the relation between language use and its ultimate context of culture, as there is, for instance, in relation to the use of language and its immediate context of use.

He shows in his analysis of the text by Chomsky that the sociological notions used from Structuration theory may provide such a framework in the direction of a more refined analysis of the inter-relation between language use and the broader context of culture. He argues that these notions make possible the analysis of intercontextuality.

Meurer states that every social practice as well as role prescription is related to structures of legitimation, signification, and domination. He further explains that language itself may often disguise these structures.

For Giddens (1984) there are three dimensions of institutionalized social structure, first, signification relates to shared understanding; second, domination has to do with the social properties like authoritative and allocative resources. And last, legitimation relates to the norms/rules that individuals draw on in justifying their own actions and that of others.

Meurer contends that a means by which one may unveil these structures as they are manifested in texts is by incorporating principles such as the ones proposed by Giddens's structuration theory, thus contributing to make sense of how social reproduction happens through the investigation of texts.

According to Giddens, structuration is the process whereby duality of structure evolves and is reproduced overtime and space. Agents in their actions constantly produce, reproduce

and develop the social structures, which both constrains and enables them to carry on specific social practices.

As stated by Giddens “all structural properties of social systems ...are the medium and outcome of contingently accomplished activities of situated actors” (Giddens, 1984, p.191).

Meurer (ibid) further argues that it is imperative to uncover the pathways by which certain social practices get reproduced. The investigation of genres should account for all these aspects of the inter-relation between language use and the context of situation and of culture.

Meurer (2004, p.86-95) draws on sociological notions from Giddens’(1979/1984) Structuration theory such as ‘role prescriptions’, ‘rules and resources’, as ‘an initial route towards a more delicate analysis of the interconnections between the broader context of culture and language use’.

Specifically in this research, I draw on Giddens’ notions of ‘role prescriptions’, ‘rules’ and ‘resources’ to analyze the representation of the roles prescribed to the discourse participants in their categories of academic activities and their effective participation in the enactment of these roles, as well as the notion of ‘power’ proposed by Meurer (2004) to analyze the power relations between and among discourse participants. I also draw on Ramos’s (1965) socio political Theory of Sociological Reduction, specifically, the law entitled ‘The Subsidiary Character of Foreign Scientific Production’ in order to explain the present sociology of the Brazilian universities faced with the dominating influences of foreign Universities. It provides political and historical basis to explain the ideological implications imbued in the discourse of the STAICs and contributes to explain how this practice may contribute to reproduce the subsidiary character of the scientific production of Brazil. Likewise, it provides a socio-political explanation for the fact that there is an

asymmetrical relation between the participants of this discourse, which also serves to explain the characterization of the STAICS as a type of promotional discourse.

2.4.1 Hortatory vs. Persuasive Discourse

The discourse of the STAICS may characterize promotional discourse in the sense that they may show characteristics of hortatory and persuasive discourse.

According to Longacre (1983) a hortatory discourse, i.e., a text whose purpose is to modify the conduct of the receivers of the text, has four typical elements: (1) establishment of the authority/credibility of the text producer; (2) presentation of the problem/situation; (3) issuing one or more commands, which can be mitigated to suggestions of varying urgency; and (4) resort to motivation (essentially threats with predictions of desirable results). In this schema, (3) is minimal and basic, i.e., hortatory discourse cannot be such without commands/suggestions.

Persuasive discourse may be characterized as showing the following elements: 1) problem/question; 2) proposed solution/answer; 3) supporting argumentation (logic, experimentation, authority); 4) appeal (often subtle) to give credence, or to adopt certain values (Longacre, 1992).

Besides the fact that the STAICS may show characteristics of persuasive and hortatory discourse, the STAICS contribute for the relation of dominance which has for long influenced Brazilian Universities.

2.4.2 ‘The Subsidiary Character of Scientific Production’ in Brazil

In his critical work, Ramos (1965) provides a panoramic view of the present sociology of Brazilian universities considering the dominating influences of foreign universities by tackling issues such as the passive assimilation of imported scientific production. Likewise, he explains the need to have a critical scientific posture facing foreign scientific production in the sense of ‘reducing’ foreign intellectual production by making a critical depuration of these works, from which there may result concepts and categories adequate to an in depth study of Brazilian social reality. In his work, Ramos has formulated what he calls the “Laws for Sociological Reduction” (my free translation), more appropriate to say methodological principles: ‘The Law of Commitment’ (my free translation - a systematic adoption of a position of engagement or conscious engagement with the context to which one belongs), ‘The Law of the Subsidiary Character of the Foreign Scientific Production’, ‘The Law of the Universality of the General Scientific Principles’, ‘The Law of the Phases’ (my free translation).

According to Ramos (1965, p.127), the sociological experience of The United States in relation to science and technology is for us Brazilians only subsidiary. For Ramos (ibid), a cultural object, such as The State, may be considered, in the domain of sociology, under varied forms (nóemas). The American sociologist will consider it in a way, the German in another way, the French in another and so on. For this author, it is possible under sociological reduction to appropriate any sociological product (system, theory, concept, research technique, a method), but not for a merely imitative purpose. There should be a critical understanding and a critical consciousness of their use. He further explains that a sociological product is always elaborated to attend determined impositions. For instance,

the System of Spencer makes sense for the English, Comte's for the French, Marx Weber for the German, and the System of Lester Ward for the North Americans. These products will form in time 'the central nucleus of the sociological thought' and this will transcend their immediate contexts. This explains that whenever we utilize an object or a product, failing to reduce it, i.e., to adapt it to our own reality, we will be involved by the same intent that motivated its elaboration in the first place. So, in observing this law the sociologist will be driven to utilize the foreign production as raw material for the theoretical elaboration conditioned by particular factors of the society he/she lives in. (my free translation)

For Ramos (ibid) the languid character of sociological speculation in colonial countries is transparent by the same fact that in those countries there are no exigencies, but to obey the variations brought about by foreign research lines. Such is the case in Brazil, for instance, where the scientific attitude is dependent and draws upon foreign scientific production. Practices such as the STAICs contribute to reproduce this 'prestige effect' belief and to characterize the Brazilian scientific community as 'collectors' of ideas, instead of producers of ideas.

The 'prestige effect' as put by Ramos (1965) may contribute to explain the naïve behavior of Brazilian intellectual layer who values the foreign scientific production.

As mentioned previously, this fact is explained as belonging to a cultural phenomenon. For Ramos (ibid) 'this is a phenomenon that belongs to the dominion of the sociology of fashion. For him, it is the practice of the reduction that converts the sociologist from consumer (collector) of ideas into producer of ideas. In his conception, the foreign sociological production, for the sociologist that fundamentals his/her speculation in social

practice, should not suit as paradigm or model, but merely as a subsidy'. (my free translation).

Ramos provides a political and sociological explanation for the imitative behavior of Brazilian's intellectual layer and for the fact that the scientific production in Brazil is subsidiary to the foreign intellectual production. His work criticizes the fact that Brazilian intellectual layers tend to draw on foreign production as collectors of ideas, depicted from the use of a critical consciousness. Ramos (ibid) attributes this fact to what he calls 'the prestige effect'. For him this purely imitative sociological behavior may bring harmful consequences to the social development of a country. Considering Ramos' political perspective, it is possible to come to an understanding of the asymmetrical relation in the level of commitment for the participation of the Brazilian and foreign universities in academic practices such as the STAICs, and thus provide evidence for the ideological implications imbued in this discourse.

2.5 Final Remarks

As already mentioned, this work will investigate the bi-directionality between language and social academic practices by looking specifically at the selected STAICs in order to answer questions related to the various social actions (Hasan, 1996). For the lexicogrammatical analysis, I will look at the representation of the attributes and academic roles prescribed to social participants of the STAICs. In order to do that, I draw on Halliday & Matthiessen's (2004) transitivity system and on the concepts from Giddens's Structuration theory, 'role prescriptions'. I also investigate the interpersonal relation between discourse participants by looking at the mood system (Halliday & Matthiessen, 2004), i.e, more specifically

modulation and drawing on the concept of ‘rules’ and ‘resources’ (Giddens, 1984) and ‘power’ (Meurer, 2004) in order to analyze and discuss how committed are the participating universities towards the enactment of the roles prescribed to them in the STAICs. Likewise, I attempt to address issues related to the sociological behavior of the social participants involved in the STAICs by drawing on Ramos’ (1965) ‘Lei do Caráter Subsidiário da Produção Estrangeira’.

Chapter 3

The scientific and technological agreements for international cooperation as a genre

“A genre can only be accounted through a specification of field, tenor and mode and a description of the linguistic features realized in the ideational, interpersonal and textual components of particular texts” (Eggins 1994).

3.1 Introduction

In this chapter, I examine the selected STAICs in terms of the generic structure potential. First, I provide information regarding methodological procedures and the overall results for the analysis of the Generic Structure Potential. Then, I present general information about the obligatory and optional elements (Hasan, 1996, 2004) of the STAICs as revealed by the analysis. Next, I analyze each element providing lexicogrammatical evidence of their realization in the selected STAICs, focusing on the representation of the roles prescribed to the social participants involved and their interpersonal relation in terms of their level of commitment in performing the roles ascribed in the STAICs.

Finally, I briefly discuss the representative elements of the Generic Structure Potential of the STAICs in relation to the representation of the roles prescribed to the social discourse participants in the categories of academic practices represented by the STAICs, and present the concluding remarks.

3.2 Generic Structure Potential (GSP)

As mentioned previously, the actions that make up our lives are partially constituted by different genres. For instance, a contract may be taken as a legal discourse, which characterizes an interaction that has as one of its social purposes to establish rules for different social practices, such as rentals, buying and selling products and services. Thus, texts such as STAICs may operate as administrative genres. As mentioned in chapter 2, even informal conversations have an organizing structure, which also contributes to its recognition as such. The purpose of this chapter is to describe the elements that make up the structure potential of the STAICs and its respective lexicogrammatical realization in terms of ideational and interpersonal metafunctions, incorporating to this analysis the discussion of the immediate context and of aspects of the broader context of culture. The analysis and discussion focuses on the representation of the roles prescribed to the social discourse participants in the categories of academic practices represented by the STAICs, and the symmetry of power between social participants in relation to the enactment of the roles prescribed.

3.2.1 Procedures for the GSP analysis of the STAICs

For analytical purposes, 10 STAICs were used in order to investigate the Generic Structure Potential (Hasan, 1985a, 1996, 2004). The choice of selection was based on the fact that these texts constituted samples of STAICs from the different types of Brazilian higher education institutions, namely, Federal, State and Private Brazilian Universities. The STAICs selected for the purpose of genre analysis were:

Selected Agreements	Brazilian Institutions	Brazilian Institutions	Foreign Institution
Agreement T1	The University of Vale do Itajai		The University of Dallas Graduate School of Management
Agreement T2	The University of São Paulo ⁴		The University of Calgary
Agreement T3	The University of Vale do Itajai		The University of Dallas
Agreement T4	The University of Vale do Itajai		The University of Dallas
Agreement T5	The University of Vale do Itajai		The University of Dallas
Agreement T6	The Federal University of Santa Catarina	Faculdades Unificadas da Região de Blumenau	Virginia Polytechnic Institute and State University
Agreement T7	The State University of Central West		The University of North Texas
Agreement T8	Universidade de São Paulo ³		The Regents of The University of California Davis
Agreement T9	Universidade do Estado de Santa Catarina		University of Wisconsin-Madison
Agreement T10	Universidade do Estado de Santa Catarina		University of Southern California

Table 3.1 - Table of the samples of the STAICs used in the analysis

3. The names of the selected STAICs have been used here both according to my translation and to the names established in the selected STAICs

The number of participants in the selected agreements ranged from two to four participating educational institutions.

As shown in Table 3.1, there are 5 different Brazilian higher education institutions, namely, The University of São Paulo, The University of Vale do Itajai, The Federal University of Santa Catarina, The State University of Central West, and Universidade para Desenvolvimento do Estado de Santa Catarina; and 7 foreign institutions, namely, The University of Dallas Graduate School of Management, The University of Calgary, Virginia Polytechnic Institute and State University, The University of North Texas, The Regents of The University of California Davis, University of Wisconsin-Madison, and University of Southern California.

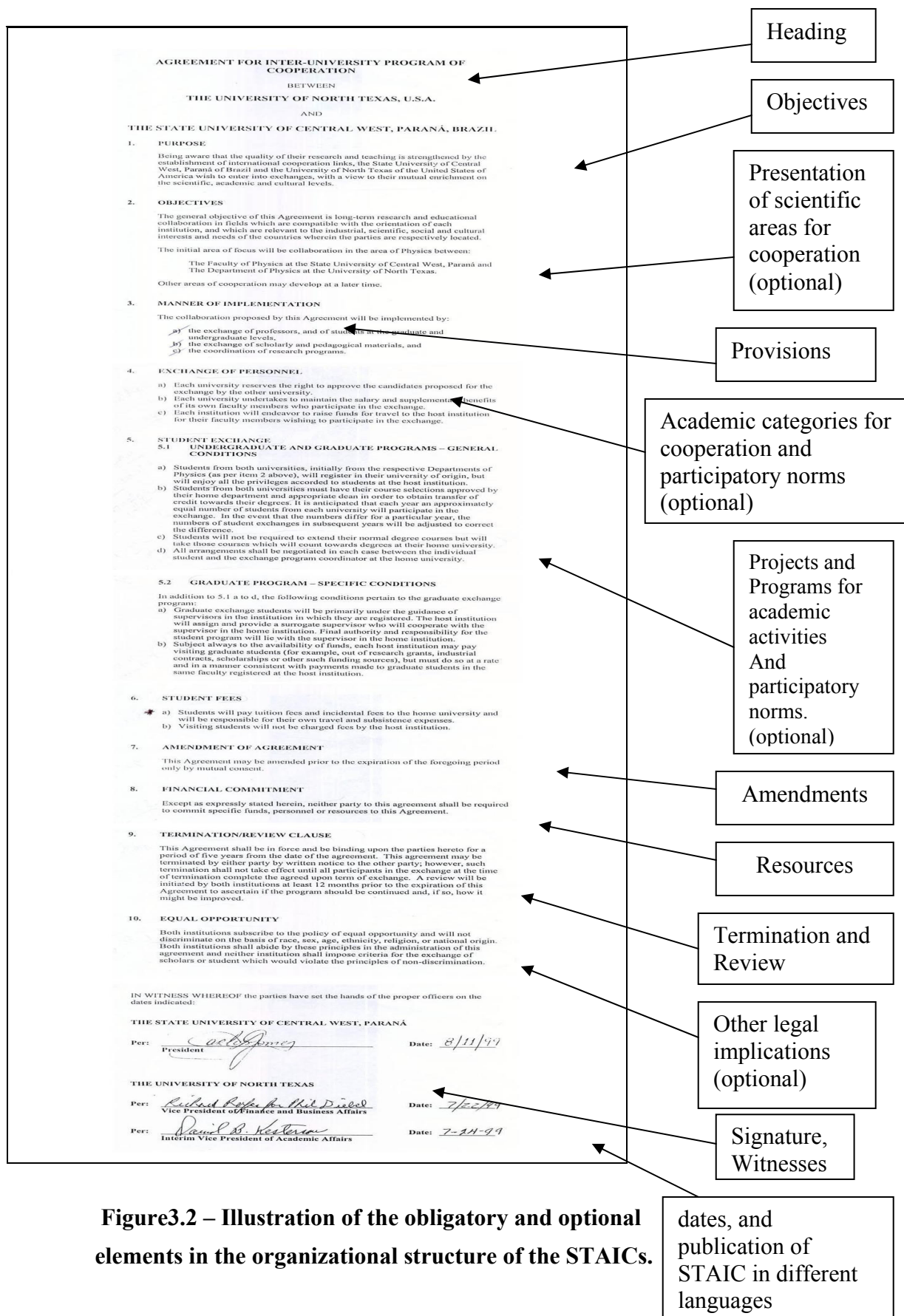
The qualitative analysis of the data consists of an investigation of the obligatory and optional elements that constitute the selected STAICs (Hasan, 1996). In order to analyze the structure potential, the 305 clauses that make up the selected STAICs were analyzed. They were classified according to the main clauses and clause complex. The lexicogrammatical analysis consisted of an investigation of the system of transitivity and modality. At the ideational level, the processes, participants and circumstances were analyzed in order to investigate how the academic practices in the STAICs are represented. Associated to the transitivity analysis, Giddens' (1984) concept of 'role prescriptions' is also used in order to examine how the roles prescribed to the social participants are realized throughout the proposed academic practices in the selected STAICs. At the interpersonal level, I analyze deontic modality, specifically modulation, in order to investigate the level of commitment of the participating institutions in relation to the enactment of the roles prescribed them in the STAICs. The concept of 'power' as proposed in (Meurer, 2004) is

used here to explain interpersonal aspects related to power relation between the participating institutions.

As shown in Table 3.2 and illustrated in figure. 3.1, the data investigated reveals that for the selected STAICs the following structure potential may be postulated: Heading, Objectives, Provisions, and Final Terms of the Agreement, which may unfold into the following obligatory elements: Duration, Resources, Amendment, Termination and Signature. The STAICs optional elements include: Institutional information, Institutional location, Presentation of scientific areas of cooperation, academic categories for cooperation and Participatory norms, Deadlines and chronograms for execution of categories of academic activities, attainment of resources for the students and teachers participation in the academic categories established and coordination of projects, Other legal implications, Review of the elements of the agreement.

<p>SP: H > O > P > FT</p>

See:



In this work, for analytical purposes, the selected texts constituting the samples of analysis are referred to as T1 (selected STAIC 1), T2 (selected STAIC two), T3 (selected STAIC 3) up to T10 (selected STAIC 10) according to the agreements displayed in chapter 3, Table 3.1.

Table 3.2 Generic Structure Potential of the STAICS: Obligatory and optional elements of the STAICs.

Obligatory Element	Optional Elements	
Heading (H)	I, L, SA	<u>H - Heading (Obligatory Element)</u> I – Institutional information –optional element L – Institutional location –optional element SA - Presentation of the scientific areas for cooperation –optional element
Objective		<u>O – Objectives</u> – the aims of the cooperation (obligatory element)
Provisions	AA,PN, DC, R	<u>P – Provisions</u> (obligatory elements) AA – Programs and Projects for Academic Activities-optional element PN – Academic categories for cooperation and participatory norms DC – Deadlines and chronograms for execution of categories R- funding for the students and teachers participation in the academic categories established and coordination of projects
FinalTerms:	OL	<u>FT – Final Terms of Agreement</u> (obligatory element) D – duration of the cooperation – obligatory element Re – resources, including the source of financing, and resource Responsibilities- obligatory element. A – Amendment element that realizes the rights to amend or modify the cooperation agreement – obligatory element. T – termination date of agreement - obligatory element OL – other legal implications - optional element Rv – review of the elements of the agreement - optional element S – signature element – obligatory
Duration (D)	Rv	
Resources (Re)		
Amendments (A)		
Termination (T)		
Signature (S)		

Analysis of the elements of the Generic Structure Potential of the STAICs

From the 10 STAICS investigated, 100% overtly show the element Heading, 100% show the element Objective and 100% show the element Provision. Likewise, 100% of the investigated agreements show clauses for duration of the cooperation, for resources, modification, rescission, and signature clauses. The variation found in the analysis of the agreements occurs at the lexicogrammatical levels. It is important to mention at this point that the selected STAICs showed all mandatory elements required by the Brazilian Federal Administrative Law (Meirelles, 1988).

As mentioned before, not all agreements will show every element of the structure potential overtly. However, the agreements may only be considered complete when they show all of their obligatory elements.

Below are the representational symbols and the convention specifications used in the structure proposed above for the obligatory and optional elements of the STAICs.

$$^H \wedge \{O\} (I)(L)\{(SA)\}^P \wedge (AA) \wedge (PN)(DC)R \wedge FT \wedge DReAT(OL)(Rv) \wedge S \wedge$$

{**Heading** (obligatory) (**Objectives** - Obligatory) (institutional background information, location (optional) (scientific areas for the development of the cooperation practices (optional)) {**Provisions** (title and description of the project and programs of academic activities (obligatory), Academic Categories of Activities (AA), Participatory Norms (responsibilities, privileges, rights and duties of academics -optional), Deadlines and chronogram of execution of activities (optional), necessary Resources for the execution of the specific categories of academic activities and projects (optional)) {**Final Terms**- Duration of the cooperation (obligatory), Resources (obligatory), Modification (amendments) of agreement (obligatory), Rescission (Termination) of the agreement (obligatory), Other Legal Implications (optional), Review clause (optional), Signature clause and respective copies (obligatory))}

Table 3.3: Conventions used in the analysis of the GSP of the selected STAICs

Following the conventions used in SFL genre analysis, and adapting them to the present study, I have classified the elements not enclosed in parentheses as obligatory. The angled brackets ({ }) enclose elements whose lexicogrammatical realization may be included or intermingled with the lexicogrammatical realization of some other element(s). The carat sign (^) indicates relative fixity: the element to the right of the carat sign cannot precede the element on the left of the sign. In the GSP above the carat sign encloses Heading; the second one encloses the Provision and the last encloses the Final terms.

In the initiating elements, the Heading (H) is obligatory and is realized by the names of the participating institutions and their intent to cooperate as well as by attributive relational processes that provide information about the participating institutions and their respective location. In the element Objective (O), the institutions show their mutual objectives towards the cooperation. This element is obligatory and may iterate in different elements of the agreements, i.e., it does not follow a specific order. The realization of the Scientific Areas for cooperation (SA) is an optional element, which may occur in different order throughout different elements in the agreements.

The Provisions (P) is an obligatory element in the agreement that proposes the establishment of programs of academic activities. The Provision element states the categories of academic practices to be implemented by the participating institutions in the agreements. Moreover, in this element, there may appear information such as the statement of Academic Categories of Activities (AA) and students and teachers' participatory norms (PN) such as norms for programs of exchange of students and teachers, research projects. Included in these norms are the responsibilities, rights, privileges, duties of the participants involved in those academic categories (an optional element); elaboration of deadlines and chronograms for the execution of those categories (DC); and Costs for participation in the

categories and coordination of categories are considered optional elements (R)(optional element).

In the Final Terms of the Agreements, the Duration of the cooperation (D), the establishment of the period of the duration for the academic proposals of cooperation is an obligatory element. Likewise, the element Resources (Re) that involves the specifications related to the roles ascribed to participants for the attainment of resources for the execution of the roles ascribed in the cooperation is an obligatory element. The Amendments or Modifications (A), which is also an obligatory element, consists in the establishment of the right ascribed to the participating universities that allows the possibility for the Modification of the agreement at the level of its clauses. The element Termination or Rescission (T) is an obligatory element that establishes the date in which the cooperation is to terminate. The Other Legal Implications (OL) element and Review (Rv) element are optional and involve respectively the establishment of norms on discriminatory matters and cooperation review. And last, the Signature element (S), which encompasses the signature of the responsible personnel. The signature represents the liability conferred to what has been established and declared in the STAICs and determines for the publishing of the STAICs in different languages relative to the countries of the parties involved.

These elements will be further discussed in the analysis of the GSP of the agreements below.

3.3 Analysis of the Obligatory and Optional Elements of the STAICs

According to the exemplification of the elements of the STAIC's above, the following is a discussion on each of these constituting elements.

3.3.1 Headings

The Heading element involves the characterization of the participants of the cooperation and its legal representatives as a means to assert their joint participation in the agreement (Manual de Convênios Internacionais, 1991- my translation). In the “heading element”, the credentials of the institutions involved in the agreements are stated. The different institutions clearly and fully state their legal names at this part of the agreement and their will to participate co-jointly in the roles ascribed to them, which legitimizes their academic agreement. Credentials are presented through the identification and classification of the participating institutions by their names and other information such as their location and other relevant legal information as described in the examples below.

Agreement for Inter-University Program of Cooperation between *The University of North Texas, USA and The State University of Central West Parana, Brazil*(T7)

Agreement for Educational and Scientific Cooperation between The College of Engineering University of Wisconsin-Madison and *The Faculty of Engineering Universidade para o Estado de Santa Catarina – UDESC* (T10)

Terms of Agreement between *The Federal University of Santa Catarina, Florianópolis, Santa Catarina and Faculdades Unificadas da Região de Blumenau (FURB), Blumenau, Santa Catarina and Virginia Polytechnic Institute and State University, Blacksburg, Virginia* (T6)

The analysis of the heading element contributes to evince linguistic similarities, i.e, all agreements show nominals indicating the name of the universities participating in the cooperation in theme position. This indicates that these institutions are the actors, the protagonists of the cooperation and that they have established academic norms by ascribing determined roles in which the participating institutions have agreed to participate.

As explained by Stallivieri (2004, p.25) about the fundamental conditions for a cooperation to take place:

‘primeiramente reconhece a existência de atores, protagonistas da cooperação...’

For instance, in example 3 above, the nominals realizing these actors are: *The Federal University of Santa Catarina and, Faculdades Unificadas da Região de Blumenau (FURB), and Virginia Polytechnic Institute and State University.*

These examples of agreements are generally held between Brazilian Federal, State and Private Universities and foreign educational institutions such as, for example, the University of Northern Texas.

According to Stallivieri (2004, p.30-31) all higher education systems nowadays face the challenge of the constant growth and diversity of offers for transnational higher education (my translation). So, Higher education all over the world seeks to solve problems such as those related to the high level of unemployment for young people graduating, strong expansion of the universities that fight fiercely for potential students, and in special, the fact that foreign universities have begun to offer their academic services and place their universities in foreign countries.

The names of the international institutions participating in the investigated STAICs and their respective interests in cooperating constitute an instrument and strategy for the accomplishment of the social mission of the universities participating.

As Stallivieri (2004, p.49) explains:

A cooperação internacional deve, portanto, ser considerada como instrumento e estratégia para o melhor cumprimento da missão social da universidade, especialmente no estabelecimento de alianças sólidas entre instituições congêneres, sejam elas universidades, institutos ou centros de pesquisa, mas também no estabelecimento de alianças com o setor produtivo, entidades empresariais, etc. Para isso, é preciso ter presente a realidade do prestígio internacional com o qual conta a universidade diante dos organismos internacionais e fomentá-lo com o avanço de novas parcerias que produzem resultados perceptíveis.

In the following example, the names of the institutions involved as well as institutional information regarding their intention in the cooperation is fully stated:

Being aware that the quality their research and teaching is strengthened by the establishment of international cooperation links, *the State University of Central West, Paraná of Brazil and the University of North Texas of the United States of America* wish to enter into exchanges, *with a view to their mutual enrichment on the scientific, academic and cultural levels.* (T7)

As also argued by Stallivieri (2004, p.31) higher education institutions must strengthen themselves in order to compete in the world market (translation mine).

For the author, as the competition between these institutions increases, one of the differentials is located in the internationalization of the institutions, in the level of excellence of their partnership and in the quality of the opportunities these institutions will be able to offer their students and teachers so that they may be able to have, throughout their academic lives, a learning experience abroad (ibid) (translation mine).

According to Rizzo de Oliveira (in Stallivieri, 2004) in his conference entitled “A Universidade e a Cooperação Internacional – uma estratégia para o desenvolvimento” adds that:

‘A cooperação internacional deve ser concebida como uma política. Isto é “um conjunto de ações e instrumentos que se articulam em consonância com os objetivos de desenvolvimento científico e acadêmico”.

The cooperation is taken by Oliveira (ibid) as a strategy that may encompass the information such as the willingness of the presidents of the universities to cooperate, institutional information that may include the agreed upon objectives in the planning of the universities and the choice of cooperation partners. Other variables are also of equal importance such as the institutional mentality geared towards international cooperation and a set of other actions in favor of cooperation such as the search of opportunities and resources to support international cooperation. (my free translation)

Information such as the choices of partners to cooperate, which is an important variable for the success of any STAIC, for example, may serve as an appeal to potential students and teachers who may be interested in participating.

3.3.1.1 Information on the participating institutions

Some realizations of the Heading may present historical information regarding the foundation of the institution, reasons for the foundation of the institutions, location, background information about the institutions involved, and information regarding the legal representation and liability of the institutions involved. This information legitimates the legal and social status of the institutions involved in the agreements, which may contribute to provide credibility in relation to scientific and technological production and the institutional availability of resources for investing in these activities as well as their prestige with international agencies.

Ex.1:

“Campus Luiz de Queiroz”, located at Piracicaba, SP, Brazil, is one of the five campi of The University of São Paulo, founded in 1934 ... It is a State University, in The State of São Paulo being judicially and financially autonomous.(T8)

UC Davis declares that it is one of the nine campuses of The University of California, an institution created by The State of California in 1868 to impart higher education and to plan and carry out research programs for the purpose... . It was created by The Organic Act of 1868, which established it with appropriate judicial and financial support at The State level, and as a land grant institution of The United States under the Morrill Act of 1862. (T8)

Whereas The University of São Paulo, located in São Paulo, the capital of the State of São Paulo, Brazil, is an autonomous state institution approved by Resolution 3.641 of Oct. 7th, 1988, and Resolution 3.745 enacted October 19th, 1990, and registered at Cadastro Geral de Contribuintes under n.(T8)

Whereas the legal representation and liability of The University of São Paulo is the responsibility of its Rector, ..., according to the deliberations of the Budget and Patrimony Commission in its session dated July 26th, 1994 and July 3rd, 1996 based on Brazilian law n.(T2)

And whereas The University of Calgary, located in the Province of Alberta, Canada, is a Corporation created pursuant to The Universities Act of the Province of Alberta, being Chapter 378 R.S.A. 170, and amendments thereto.(T2)

The representing personnel from each participating institution in the STAICs may be identified by their names, as for example:

And whereas the legal representation of The University of Calgary is The Governors of The University of Calgary, in this agreement is represented by President⁴ Terrence H. White.(T8)

4— Different countries will have different labels for the University’s chief office, i.e., in Brazil the Universities have Rectors as their chief representatives, however, in The United States, the label President is also used for the chief representative in some institutions.

As mentioned earlier, information about institutional background accredits authority to the institutions involved. For example, the numeral realization of the date in which the universities were founded, such as the date of the foundation of the University of São Paulo- 1934, contributes to characterize the legal foundation of the institutions, and also to indicate that it is an organization which has endured for a long period of time in the academic world, mostly prevailing by the quality of the educational services provided to the community and the quality of the research and technology developed.

According to The Brazilian Ministry of Education, USP is one of the most recognized educational institutions in Brazil in various areas of knowledge. Most of the significant research developed in Brazil takes place at universities in the Southeast of Brazil, such as Universidade de São Paulo. Thus, in the academic world, these institutions represent trustable and reputable organizations.

As stated by Stallivieri (2004, p.49) on the procedures for the management of an international academic cooperation:

‘A cooperação internacional deve, portanto, ser considerada como instrumento e estratégia para o melhor cumprimento da missão social da universidade, especialmente no estabelecimento de alianças sólidas entre instituições congêneres, sejam elas universidades, institutos ou centros de pesquisa, mas também no estabelecimento de alianças com o setor produtivo, entidades empresariais, etc. ‘

But to consider the reliability of the institution is not enough on its own to ensure the establishment of inter-institutional cooperation.

As further explained by Stallivieri (ibid):

‘Para isso, é preciso ter presente a realidade do prestígio institucional com o qual conta a universidade diante dos organismos internacionais e fomentá-lo com o avanço de novas parcerias que produzam resultados perceptíveis’.

The credibility of the institutions involved in the cooperation will be considered an important factor; however, other factors such as the prestige the institution has in relation to international financing agencies and the results obtained through the partnerships must also be considered as important factors (translation mine).

Stallivieri (2004, p. 33) further adds that:

No estabelecimento de suas estratégias de internacionalização, as instituições observam algumas características que podem delimitar a sua área de atuação, tais como: restrições em termos de localização geográfica das universidades, barreiras linguísticas; áreas de excelência do conhecimento no ensino ou na pesquisa, e ainda no nível de desenvolvimento do país onde está localizada a instituição.

For example, circumstances of location such as in São Paulo, in Canada, in The United States are realized in the heading element to define the geographic location of the participating institutions. Places such as São Paulo, Minas Gerais and Rio de Janeiro, for instance, are the places where the majority of the research is developed in Brazil, where there are more availability of resources. The most frequent choices of foreign institutions partnership are The U.S universities, especially due to the fact that they are well-known centers of excellence in research and technology development.

3.3.2. Objectives (obligatory)

In the ‘Objective element’, the participating institutions present their general intentions towards academic cooperation, the institutions involved establish that cooperating for research, teaching and extension is their major role, as shown in the examples below:

The objective of this agreement is to foster collaboration between The University of São Paulo and The University of Calgary (T2)

The objective of this agreement is to combine efforts and resources of the three universities for the strengthening of teaching, research, and extension. (T6)

The general objective of this Agreement is long-term research and educational collaboration in fields which are compatible with the orientation of each institution, and which are relevant to the industrial, scientific, social, and cultural interests and needs of the countries wherein the parties are respectively located.(T7)

The celebration of an agreement is geared by the mutual interest of both parties involved. The objective element is not recurrent in the sequential order pin-pointed, it may occur more than once in the investigated agreements without any strict order or labeling such as in the examples above where the lexical item ‘objective’ is realized in theme position. Other than this, the objective element may appear in other realizations such as for example:

The college of Engineering of the University of the University of Wisconsin-Madison and The Faculty of Engineering, Universidade para o Desenvolvimento do Estado de Santa Catarina – UDESC *will endeavour* to cooperate in the field of engineering and scientific education and research under mutual agreement. (T6)

In this example, the mental process ‘endeavour’ realizes the objectives of the participating institutions in the Heading element, which is to cooperate in the field of engineering and scientific education and research under mutual agreement. However, in the following examples, different lexicogrammatical choices are used to realize the objectives, for instance:

...For the first two years of the Exchange Program between UD and UNIVALI, the *areas chosen are* English Language Teaching and Applied Social Sciences (to the sub-area Mercosul) respectively. (T1)

The initial area of focus will be collaboration in the area of Physics between: The Faculty of Physics at the State University of Central west, Paraná and The Department of Physics at The University of North Texas.

In the examples above, the objectives are intertwined with the scientific areas chosen, which is another optional element in the Provision obligatory element (see section 3.3) of the cooperation. In the first example, the objective of collaboration is implicit in the clause, i.e., the use of the nominal groups 'Exchange Programs' implies that there will be collaboration in the academic categories of student and teacher exchange and this collaboration will be held in different areas, which in this example is realized by the nominal groups 'English language teaching', and 'Applied Social Sciences'. In the second example, the objective is explicitly realized by the lexical items 'collaboration' and 'Physics' and by the use of nominal groups such as 'field of engineering', 'scientific education', 'Faculty of Physics'.

Throughout the obligatory elements of the GSP of the STAICS, including the Objective element, responsibility and obligations are ascribed to the participating universities, i.e., different roles are ascribed to the participating universities.

As Stallivieri (2004) explains, in order to establish strategies each university seeks to observe the principles involved in its autonomy, defining individually its needs in relation to these objectives in accordance to the aims of the institution.

All of these strategies are developed at a higher hierarchical level in the institution such as directive councils, the university's Rector office. It may be centralized or it may

involve other institutional stances or academic units such as, for example, the university's offices of international affairs (Stallivieri, 2004).

In the examples above, the lexical item 'objective' does not appear explicitly; however, the institutions realized by the nominal groups 'The college of Engineering of the University of the University of Wisconsin-Madison and The Faculty of Engineering, Universidade para o Desenvolvimento do Estado de Santa Catarina – UDESC' are willing as represented by the modal 'will' to cooperate in some areas of research realized by the attribute 'collaboration' in the example above. In this example, the objective is expressed by their inclination to cooperate. So, even if not explicitly realized in the sentence, the objective of the cooperation is stated. Examples such as this one do not follow a strict sequence. They may appear after the Heading, in which it is more recurrent, or else in the Objective element and/or throughout the provisions element as shown below.

The Objective element should be followed by the Provision for the program of activities that will be discussed next. It is meant to sustain the working plan of the cooperation through research projects and respective programs of academic activities.

3.3.3 Provisions (Obligatory element)

As previously mentioned, the purpose of an agreement is to establish academic cooperation for the exchange of scientific, and technological knowledge. It is in the Provision element that the specific proposals to achieve the general objective of the cooperation are made explicit. This element of the GSP is obligatory and necessary for the development of the agreement. A program of academic activities that encompasses the general objective of the cooperation is an essential part of the planning of an academic agreement.

According to Stallivieri (2004) the success of an agreement will depend on the program of academic activities established because it is this program that will reflect the reasons why the agreement is settled, the interest the institutions have in participating and executing the cooperation, and the relevance of the objectives. Thus, the academic cooperation is a means by which local and global institutional development may be achieved. ‘Defining its goals and aims, identifying the needs, identifying the areas of institutional excellence and implementing actions which may disseminate the forms of internationalization are priority points in obtaining positive results in a cooperation’ (Stallivieri, 2004, p.35) (translation mine).

In the Provision element the participating institutions are ascribed basic roles, i.e., that of designing the actions to be taken in terms of implementation of the programs of academic activities and presenting proposals for the subsidizing of the activities proposed. This is exemplified in the following examples:

Under this general Agreement, cooperative work may be undertaken by subunits, and will include: *General description of the kinds of cooperative work and activities undertaken.* (T8)

In order to attain the proposed objectives in the First Clauses, *Cooperative Programs of Activities, including research projects, extension and teaching will be jointly elaborated and they will make up an integral part of the present agreement, and must include, chiefly the themes, the objectives, the goals, the duration, the modalities of execution and the responsibilities of the Parties.* (T4)

Each activity to be carried out under provisions of the present agreement will be designed in project form, in which the following items - as a minimum- will be defined:

1. The responsibility for each phase of the project work;
2. *Necessary and available resources;*
3. The methodology to be followed;
4. The time periods foreseen in the initiation and completion of the project;
5. Guidelines for evaluation of the project. (T6)

In some occurrences, the Provisions element in the STAICs may be characterized even further showing optional elements to detail the programs of academic activities that will take place and defining details of the process of development of the collaborative academic activities. These categories are specified in line with the interests of the participating institutions, more specifically, involving the interests of the departments of the participating institutions in the cooperation, and in accordance with the cooperative program of academic activities, including research projects, teaching and extension programs.

These activities may be categorized as the following academic and cultural activities realized in the examples below by the nominal groups ‘development of collaborative research projects’, ‘organization of joint academic and scientific activities, such as courses, conferences, seminars, symposia or lectures’, ‘exchange of research and teaching personnel’, ‘exchange of students’, and ‘exchange of publications and other materials of common interest’.

Ex.1:

In order to achieve the objectives of this agreement, the parties agree to participate in academic, scientific, and cultural activities in the areas of common interest, which may include, but are not limited to, the following:

- (a) Development of collaborative research projects;*
- (b) Organization of joint academic and scientific activities, such as courses, conferences, seminars, symposia or lectures;*
- (c) Exchange of research and teaching personnel;*
- (d) Exchange of students; and*
- (e) Exchange of publications and other materials of common interest. (T2)*

Ex.2:

The collaboration proposed by this agreement will be implemented by:

- a) the exchange of professors, and of students at the graduate and undergraduate levels,*
- b) the exchange of scholarly and pedagogical materials, and*
- c) the coordination of research programs.(T7)*

Ex.3:

Within fields that are mutually agreed to both faculties agree on the following general forms of cooperation:

1. *Joint research activities*
2. *Exchange of information in the area of scientific education and research which is of mutual interest to both faculties*
3. *Exchange of faculty members for research, lecturers and discussions*
4. *Exchange of graduate and undergraduate students for study and research (T10)*

The various departments of the educational institutions involved, after establishing the collaborative program of activities, are also responsible for providing all the necessary conditions for the implementation of these cooperative program of activities. Both institutions agree on the responsibilities, obligations, duties and privileges to be ascribed to the participating universities for the development of the academic program of activities.

3.3.3.1 The Provision and the roles ascribed to the participants in the different categories of programs of academic activities:

This is specified in the Provision element through the various academic categories established by the participating institutions in the different agreements. As well explained by Meurer (2004) ‘Social practices are the activities in which the people engage as they conduct their social lives’ (Meurer, 2002, p.6). These academic practices involve the academic community and all the people who engage in the different academic practices such as teachers, students, researchers, and university staff alike. In the Provision element different roles may be ascribed, i.e., different obligations, duties, rights may be attributed to these social agents in the possible categories of academic activities.

As defined by Giddens (1979/1994, p.118) ‘role prescriptions are, thus, privileges or rights and duties or responsibilities associated with specific social identities, that is, categories or typifications ‘made on the bases of some definite social criterion or criteria: occupation, kin relation, age-grade’.

In the Provision element, different roles are attributed to teachers, students and staff members at the institutions involved in the different projects and/or programs of academic activities. In each of the established academic categories - exchange of teachers, students, materials, etc, - different roles are prescribed, which involve the development and the funding of the established programs of academic activities. Next, these elements will be discussed, and examples of each will be provided:

a. the roles concerning the development, designing and implementation of programs of academic activities:

Ex.: Each activity to be carried out under provisions of the present agreement will be *designed* in project form ... (T6)

The collaboration proposed by this Agreement will be *implemented* by:

a) the exchange of professors, and of students at the graduate and undergraduate levels, b) the exchange of scholarly and pedagogical materials, and the coordination of research programs. (T7)

b. the roles concerning administrative aspects such as registration procedures and responsibilities of each participating institution for the programs of exchange to take place (optional element)

Ex.:

The students of both universities *will be enrolled* at their university of origin... (T3)

Students from both universities, initially from the respective Departments of Physics (as per item 2 above), *will register* in their university of origin, but will enjoy all the privileges accorded to students at the host university (T7).

Students from the participating universities are responsible for administrative aspects of the program of exchange, such as their registration, and enrollment at their university of origin. They are also granted the privileges as the students in the host universities.

c. the roles concerning the definition of schedules for the participation in specific activities

There are obligations in relation to the period of stay of the students in the various exchange programs. One important issue to be attentive to is that the country exporting students only gains when the students returns home (Stallivieri, 2004). So, it becomes necessary that schedules be defined for the participation of students in the different academic activities. This is another optional element, which establishes the time and place for the development of the proposed academic activities, such as the period of stay, and schedule for specific activities.

Ex.:

The period of stay of the exchange student must not be *shorter or longer than that foreseen in the present program* (T3).

The letter of agreement shall include such items as *schedules for the specific activities* (T2)

The period of stay at the host institution is *usually from one to four weeks or longer as negotiated* (T1)

A possible explanation for the establishment of periods of student stay is that whenever students are absent for a long period of time from the institution of origin, the investment made in them does not bring about the expected results. This absence is due to different social, political and economic reasons, among which is the fact that there is insufficient stimulus and opportunities offered to students and researchers locally. So, they choose to remain abroad instead of returning to their institution of origin and effectively giving their contribution to the development of their country of origin (Stallivieri, 2004).

Another issue that remains in the implementation of exchange programs is the establishment of sources for resources as represented by the responsibilities ascribed to students and teachers to pay for the cooperation programs, i.e., exchange program themselves.

d. the roles concerning the attainment of financial support and sources of financing for the academic activities in exchange programs.

Ex.:

The sending institution *must pay* for the air tickets and salary while the host institution must cover for housing and meals expenses of the Faculty during the time of his/her stay in the City where the activities are carried out (T1) .

The students participating in the program *will pay* enrollment fees to the University of Origin and will be exempt from paying student fees during the exchange period (T3).

Students *will pay tuition fees and incidental fees* to the home university and will be responsible for their own travel and subsistence expenses. (T7)

As can be seen in the examples above, in academic cooperation a very promising arena is to create conditions to invest in its own community aiming at students and teachers. It is very

appealing to teachers, students and administrative staff alike to be provided an opportunity to share an experience abroad. It is also a means by which the institutions may become well known both at a national and international level (Stallivieri, 2004).

3.3.4 Final Terms of the Agreements

These terms encompass different obligatory and optional elements according to the investigated STAICs. First, the period of time in which the agreement remains effective, i.e., how long the cooperation and respective activities will last. The effective term of the agreement is to be set as to coincide with the time period set forth in their working plans. In this part, a time is set for the beginning and the end of the educational activities (Stallivieri, 2004).

Second, it refers to the financial commitment of the participating institutions in relation to the obligations of the institutions regarding the costs of the projects of activities. This implies that the institutions must present different sources of financial resources in order to develop the cooperation activities.

Third, the procedures for the possible modifications in the agreement. This implies that the agreements proposals may be modified and/or amended. Fourth, other legal implications cover any possible quandary the participating parties are not eligible to solve. Fifth, some legal implication for the resolution of any problem that may arise during the cooperation timing. Sixth, The review clause involves a review on the cooperation with the aim to renew the STAIC. Seventh, the signature clause implies the liability of the institutions involved in regard to their participation in the agreement.

The STAIC constitute proposals for academic practices that will be developed during a specific time and place as stated in the agreements.

3.3.4.1 The validity or duration of the STAICs

The time period for which the cooperation will be valid and the period in which the academic activities between the parties involved will take place.

Ex.:

This agreement will be effective and the parties involved committed *for a period of 5 (five) years from its starting date* (T3).

The present agreement will remain in effect, upon being signed, *for a period of five (5) years, with the option of extending it* (T6)

This agreement shall be in force and be bidding upon the parties hereto *for a period of five years from the date of the agreement* (T7).

In the examples above the relational processes ‘will be’, the attribute ‘effective’, the material process ‘will remain’, and the location circumstances ‘in force’ and ‘biding’, ‘in effect’, realize the duration of the agreement. It reflects the relation of the agreement and its proposals to a time circumstance. Every agreement and its respective clauses must be established for a time period, which, in the STAICs, is related to the necessary time for the development of the proposed academic activities. In the examples above, it is the time circumstances ‘for a period of 5 (five years)’, ‘for a period of five years, with the option of extending it’, ‘for a period of five years from the date of the agreement’, that realize the stipulation of time for the development of the academic activities proposals.

All cooperation must be programmed to last in accordance to its program of activities and projects. At the end of it, an evaluation must be developed to assess its

effectiveness and efficacy. Likewise, the places where the activities will be developed must be established to assure the best results (Stallivieri, 2004). Alongside with the time duration for its development, the financial commitment for the attainment of resources is an obligation. The institutions involved are obliged to find sources of resources in order to execute and implement their academic roles, as indicated in the examples below:

3.3.4.2 The attainment of resources in the STAICs

The academic practice involved in the STAICS require sufficient resources destined to the execution of the activities proposed, as shown in the examples taken from texts 4, 6,7 and 10 below respectively. Here the participating institutions are ascribed the roles of funder of the cooperation, of presenter of alternative sources of financing the cooperation.

That the activities foreseen in the present agreement do not oblige the Parties to use their own financial resources to assure necessary financial support. In case of specific projects that require this kind of support, the Universities in agreement, separately or jointly, will present proposals concerning national or international financial agencies (T4).

Human, material, technological, and financial resources necessary in the execution of projects to be developed under the terms of this agreement shall be provided for by the three universities, as appropriate and available, from their own resources or from those that may be secured jointly or individually from outside sources or outside entities under special agreements (T6).

Except as expressly stated herein, neither party to this agreement shall be required to commit specific funds, personnel or resources to this agreement (T7).

Each university is responsible for covering the costs of its own staff and operations in the regular conduct and oversight of this academic agreement. It is anticipated, however, that individual project costs are likely to be beyond the regular operating budgets of either university. In these cases therefore, the universities shall collaborate in raising the funding necessary from other third party organization sources (such as foundations, governments, businesses, individuals, and other such

sources). The intention is to assure that the operation of this joint agreement is experienced as beneficial within each university, and that *no funds be diverted from other tasks for the accomplishment of its work*_(T10).

In the examples above, nominal groups such as ‘own financial resources’, ‘financial resources’, ‘their own resources’, ‘specific funds’, ‘specific personnel’, ‘specific resources’, ‘individual project costs’, indicate that the roles refer to the obligations for the financing of the programs of academic activities. Qualifiers such as ‘own’ in the nominal groups ‘own resources’, or ‘own financial resources’, ‘the costs of its own staff’, ‘the funding necessary’, indicate that the participating universities are equally responsible for funding their own academic activities and personnel. This is also explicitly stated in the clause ‘Each University is responsible for covering the cost of its own staff and operations...’ whereas the relational process ‘be’ indicates that the universities have the attribute of being ‘responsible’ for funding in different spatial circumstance, i.e., those of financing the costs of the academic activities of their staff members and other operations. Moreover, material processes such as in the following clause: ‘the universities shall collaborate in raising the funding necessary from other third party organization...’ in which the material process ‘collaborate’ suggests that the actors ‘the universities’ will act in collaboration for a determined purpose, i.e., that of raising the funding necessary, which in this clause is expressed by the circumstance of purpose ‘in raising the funding necessary...’.

As stated by Meurer (2002, p.7) individuals apply the resources (material or symbolic) to act upon the world (Chouliaraki and Fairclough, 1999, p.21) as is also the case of attributing the participating universities the responsibility of attaining and presenting sources of financial support for the development of the cooperation in the extracts above.

Although this is not the aim of this research, it is important to mention that, as in the last example, in order to obtain the sources of financing through foundations, governments, businesses, international agencies, different requirements are at stake. Nevertheless, these requirements are not easily fulfilled. Stallivieri (2004, p.54), for instance, explains that there are two fundamental aspects to obtaining resources: one is the nature of the institution be it public or private and the other is the geographic area in which it is located (my translation). Depending on the nature of the institution, there will be different responses in relation to the distribution of resources. The universities with a public nature have more opportunities to obtain resources from the Federal government. The private institutions will allocate their own resources for the development and submission of projects, which does not turn them totally illegible to compete for public sources of financial support (Stallivieri, 2004 – my translation).

For the institutions participating in the cooperation, different issues are at stake while obtaining financial support: one is the geo-educational aspect and the other the level of development of the institutions soliciting the resources. According to Stallivieri (2004, p.54) “the geo-educational aspect may also be a relevant criteria to consider while judging the requests for financial support conceived by different organisms, specially international ones. The latter tends to assess with high precision the level of development of the institutions soliciting the resources” (ibid).

So, whether the higher educational institutions present centralized models of management, whereas the budget is administered by the school board, or a decentralized one, whereas the institutions budget is administered by its units and departments, or even whereas there are a mixture of aspects from the two previous models, they may consider

two ways to search for financial support: through utilizing resources from external and internal sources (Stallivieri, 2004).

There are various internal and external sources for obtaining financial support: there are offers for governmental programs, economic blocks, official bilateral cooperation between different countries, inter-institutional cooperation, institution's own resources. There are also offers from cooperation financed by diversified sources such as international organisms, autonomous communities, foundations, requests to participate in Non-governmental organizations, cooperation financed by the investigation groups and/or by the final actors of cooperation activities, and finally, offers from cooperation financed or co-financed by institutions (Stallivieri, 2004, p.55) (for more details on the possible sources of support for exchange programs and research see Appendix II).

In Brazil, the higher education institutions may obtain financial support for the advanced formation of their teachers in foreign institutions through international cooperation with several developed countries, which is managed by Coordenadoria de Aperfeiçoamento de Pessoal de Nível Superior (CAPES), an organ of the Brazilian Ministry of Education (MEC) and by the Conselho Nacional de Desenvolvimento Científico e Tecnológico (CNPq), which is associated to the Ministry of Science and Technology.

Both of these organs have supported the bilateral and multilateral academic cooperation since the seventies. During the nineties, these agencies also started to negotiate international agreements associating them to co-joint research projects, so as to meet the demands from the scientific community (www.mec.org.br accessed on 12/12/2002).

Specifically in Brazil some cooperation programs are offered such as Programa Estudante Convênio (PEC-G) for undergraduate studies and Programa Estudante de Pós-

Graduação (PEC-PG). These programs are developed in association with the Brazilian Ministry of Education and the Ministry of Foreign Relations aiming at the implementation of cultural and scientific agreements with developed countries. The goal of this program is to promote the increment of educational exchange and scientific cooperation. Besides that, it also aims at promoting Brazilian undergraduate and graduate courses abroad. But, overall the financial support obtained is not sufficient and the universities are obliged to look for different alternatives (Stallivieri, 2004).

In the STAICS the institutions involved have the right to modify, by mutual consent, the terms of the agreement, be it an amendment to what has already been established, or simply an extension to its time period. This is governed by a modification clause present in all investigated agreements as shown below:

3.3.4.3 Modification/Amendments of the STAICs – obligatory elements

This obligatory element specifies the procedures for any alterations or modifications that may be made in relation to the terms of the agreement:

Ex.:

This agreement *may be modified* by means of an additional term (T4).

The present agreement *may be altered* through addition or other terms of agreement (T6)

Before its expiry term, it may *be modified* only by mutual consent (T3).

As can be seen in the examples above, the relational processes ‘be’ and the attributes ‘modified’, ‘altered’, and by the manner circumstances ‘through addition or other terms of agreement’ or ‘mutual consent’, which appear in all the three

examples, linguistically realize the right granted to the participating institution of modifying the agreements' proposals by mutual approval and/or additive terms.

Likewise, the STAICS also show a clause that attributes the right to any of the participating institutions to rescind the agreement by notification of the other party in advance, as shows the following examples.

3.3.4.4 Rescission, Termination of the STAICs

Inform the possibility of terminating the agreement at any time or declaring it null, by any one of the parties involved, in the form of a written termination notice forwarded to the other party in advance of the intended termination date.

Examples:

The agreement of cooperation may *be terminated by mutual consent or terminated* by each institution unilaterally after six months written notice to the partner. (T1)

This agreement can *be rescinded at any time*, by one of the Parties, by means of a previous notification, of three months allowing, however, the completion of activities (T4)

The present agreement *may be rescinded at any time*, by one of the Parties, by means of a previous notification, of three months allowing, however, the completion of activities. (T5)

The present agreement *may be rescinded* by virtue of non-implementation of its clauses, or declared null and void by virtue of its being impossible to execute. (T6)

In these examples, the material processes 'be rescinded/terminated' as in the following clauses 'this agreement may be rescinded...' or 'this agreement may be terminated...' which appear in all of the examples above, establishes the right, as represented by the

following processes ‘terminated, and /or rescinded’, to end the agreement under different circumstances: ‘by mutual consent’, ‘by each institution unilaterally after six months written notice to the partner’, ‘by one of the Parties, by means of a previous notification, of three months allowing, however, the completion of activities’, ‘by virtue of non-implementation of its clauses or declared null and void by virtue of its being impossible to execute’. So, according to these clause, the institutions have the right to terminate the agreements, they may be ended whenever there is a three month previous notification to the parties allowing the activities to be completed, or in the case that the agreements clauses are impossible to be executed, or by one of the parties with a previous notification of six months.

Notwithstanding, another element in the STAICs is deliberating for the legal resolution of the STAICs. This refers to the possibility of any controversies throughout the development of the agreement: the parties may decide to resolve the matter by themselves, or else they are granted the right to elect a third party to solve them, as in the following examples:

3.3.4.5 Legal Resolution of the STAICs

It presents norms to support any reminiscent controversies regarding the interpretation or any possible disagreement that may rise during the development of the STAICs.

Ex.:

If any misunderstanding occurs, as to the interpretation or application of this Agreement or contracts the *Parties will try to solve it through direct negotiation or by means of appeal to a judge designated by common accord* (T6).

Special cases will be a subject for study and resolution between both universities. (T3)

In the examples above, the concession circumstance ‘if any misunderstanding occurs, as to the interpretation or application of this agreement or contracts, the Parties ...’ indicates that in the case there may be any problems in the interpretation of the agreements’ proposals and their application, a concession will be made to the participating Parties, i.e., the Actors of the agreements realized by the noun ‘the Parties’ will be given the right to solve it.

Nonetheless, the right to evaluate the development of the programs through a review clause is also given to the participating institution, which will allow for an assessment of the activities developed, resulting most of the time in the renewal of the agreement for the same period of time stipulated before, as shown in the examples below:

3.3.4.6 Review and renewal of the STAICs

A review may be made of the cooperation and its development to decide whether the programs developed should be continued.

Ex.:

A review will be initiated by both institutions at least 12 months prior to the expiration of this agreement to ascertain if the program should be continued and, if so, how it might be improved (T7)

If neither party gives such notification, the Program will be understood as being renewed automatically for a period of five years (T3)

In the examples above, the material processes ‘initiate...’ indicates that the universities have the right to review the STAICs. This review happens within different time circumstances, depending on the agreement, such as in the following location (time) circumstances: ‘at least 12 months prior to the expiration of this agreement...’,

‘automatically for a period of five years’. The purpose of this review is to ascertain the continuity and renewal of the program.

The roles ascribed to the participating institutions throughout the elements Objectives, Provisions, and the final Terms of Agreement cannot be legitimated, unless the appropriate personnel from the participating institutions is appointed to represent the institutions in being liable to assume these responsibilities, rights, and privileges. So, the legal responsibility for the establishment of agreements is often attributed to the Rector of the institution, who signs the agreement in the presence of eyewitnesses, according to the following examples:

3.3.4.7 Signature of the STAICs – Obligatory element

In this element, the date in which the agreement is signed and the signatures of the representative members of the participating parties are presented and validated.

Ex.:

Per: _____

Date: 8/11/99

President

THE UNIVERSITY OF NOTH TEXAS

Per: _____

Vice President of Finance and Business Affairs

Per: _____

Interim Vice President of Academic Affairs

The signature of the representative members from parties involved validates what the participating institutions have established to constitute their practices for cooperation. This practice confers the STAIC liability.

Ex.:

Per: _____

President

THE UNIVERSITY OF NORTH TEXAS

Per: _____

Vice President of Finance and Business Affairs

Per: _____

Interim Vice President of Academic Affairs

In the examples above, the lexical items ‘President’, ‘Vice President of Finance and Business Affairs’, ‘Interim Vice President of Academic Affairs’ realize the titles conferred to the personnel appointed to be responsible for the statements and proposals made in the agreements. The item ‘date’ also testifies and informs the time period in which the STAIC is signed.

3.3.4.8 Publishing of the STAICs in different languages

Another important element in the STAICs is the publishing of the agreements in different languages. It establishes the languages in which the agreements will be published. Thus, certifying that the Parties will have a copy of the signed agreement in their respective languages.

Ex.:

Therefore, after being read, acknowledged, and agreed upon by the representatives of the three universities, the present agreement is signed in the presence of the witness listed below, *with copies provided for the concerned parties*.

As witness to their subscription to the above articles, *presented in both English and Portuguese translation, the representatives...*(T2)

...the parties in this agreement sign the present document *in two copies in English* (T4)

In the examples above, the circumstances of manner ‘in both English and Portuguese translation’, ‘in two copies in English’, ‘with two copies provided for the concerned parties’, realize the need to provide copies of the agreements in the participating institutions languages of origin as to avoid further misunderstanding of the agreement due to language barriers. Moreover, the circumstances ‘in the presence of an eyewitness’ or ‘as

witness to their subscription to the above articles’ also realize the fact that the agreements must be signed under the presence of eyewitnesses who will validate the STAICs.

3.4 Final discussion and remarks

In this chapter, the Generic Structure Potential of the STAICs was investigated, and the constituting obligatory and optional elements were described and analyzed. From my research questions posted in chapter one (section 1.1), I will address and discuss below the question related to the generic structure potential of the STAICs.

Do the STAICs have one specific kind of overall organization?

The Generic Structure Potential of a text is its actual structure, which is constituted by the occurrence of an array of obligatory and optional elements, and their conventional ordering. These elements are referred to as ‘a limited set of actions which have some consequences in the progression of the text’ (Hasan, 1984, p.55). So, each genre is typified by a generic structure potential.

According to the analysis of the GSP of the investigated STAICs, they present an overall organization that is constituted by four main elements. The elements are: Headings, Objectives, Provision, and the Terms of agreement, which is further divided into: duration of the cooperation, resources, including the source of financing, and resource responsibilities, element that realizes the rights to amend or modify the cooperation agreement, termination date of agreement, and the signature element.

What are the obligatory elements in these texts?

In the Heading element, the participating universities are introduced. In the Objective element, responsibility to establish the cooperation is assigned to the participating parties. The Provision element indicates the types of programs of academic activities that will take place and the roles students and teachers members of the participating university will enact throughout the development of those activities. The element Terms of Amendment encompasses the elements Duration, which establishes a period for the development of the cooperation. The element Resources assigns the participants the responsibility to attain and present proposals for the subsidizing of the academic program of activities. The element Amendments grants the participating institutions the rights to modify the rules of the cooperation. Finally, the elements Termination and Signature confer the cooperation liability.

What are the optional elements in these texts?

The element SA, the names of the scientific areas for cooperation is an optional element and may iterate in different elements of the STAICs. The institutional information on the participating universities such as location date of foundation, legal information is an optional element. The establishment of the participatory norms for the development of the programs of activities in the STAICs constitutes an optional element, as well as the establishment of chronograms and deadlines for the execution of the programs of academic activities is also an optional element, and the establishment of the resources destined specifically for the payment of fees to subsidize the academic activities. The establishment

of other legal implications such as the norms for the legal resolution of the STAICs is an optional element. And the review clause that accounts for the continuation of the cooperation program is also an optional element.

Chapter 4

The representation of the attributes and roles of the social participants in the STAICs

[...] and role 'is the primary point of direct articulation between the personality of the individual and the structure of the social system'.(Giddens, 1984, p.115)

4.1 Introduction

As has already been discussed in the previous chapter, the selected texts show a Generic Structure Potential made up of four obligatory elements: Heading, Objectives, Provisions, and the Final Terms of the agreements, and also by its optional elements.

The purpose of this chapter is the analysis of the processes, participants and circumstances that realize the selected STAICs in order to investigate the linguistic realizations of the attributes and roles ascribed to the social participants. Halliday's (1994; Halliday & Matthiessen, 2004) lexicogrammatical category of transitivity and Giddens' (1984) concept of 'role prescriptions' are used in order to describe and discuss the realization of the attributes and roles of these social participants as they are construed throughout the selected STAICs.

4.2 Procedure for the Analysis of transitivity in the STAICs

To compile data for the analysis of transitivity, as in chapter three, I used the 10 selected STAICs between Brazilian and foreign higher education institutions (see Table 3.3).

First, each complex clause was classified according to the type of process, participant and circumstance (Halliday, 1994; Halliday & Matthiessen, 2004). Then, the clauses were grouped according to the type of processes in order to establish the most recurrent ones found in the selected agreements, i.e., which patterns of experience recur in the investigated agreements.

Then, I narrowed down the data to clauses constituted by relational processes realizing the attributes of the social participants, and clauses constituted by material processes realizing the roles ascribed to the universities involved in the STAICs. This is an example of attributive relational clause:

Each university	is	responsible	for covering the costs of its own staff and operations in the regular conduct and oversight of the academic agreement.
Carrier	Relational Process	Attribute	Circumstance

In the example above, the relational process specifies the attribute ascribed to the carrier ‘each university’, which is qualified as accountable for the costs of operations and regular development of the agreement, realized by the attribute ‘responsible for covering the costs of its own staff and operations in the regular conduct and oversight of the academic agreement’. This implies that each participating institution is in charge of matters related to resources destined to the execution of the academic activities proposed in the STAIC.

And the clause below is an example of a material process that establishes a specific role ascribed to the participating universities in the STAICs as a Goal:

In case of specific projects that require this type of support	the Universities in Agreement	will present	proposals concerning national or international financial agencies
Circ.: Cont.	Actor	Material Proc.	Goal

In the example above, the Actor ‘the Universities in agreement’ are ascribed the responsibility to propose the sources of finance for the cooperation, realized here by the material process ‘present’ and the Goal ‘proposals concerning national or international financial agencies’; in the circumstance of contingency (condition) ‘in case of specific project that require this type of support’ (Halliday & Matthiessen, 2004, p.262). So, the role of presenter of alternative sources of resources to develop the cooperation is a responsibility delegated and entrusted to the participating universities in mutual agreement.

The next step was the quantitative and qualitative analysis of the recurrent participants, processes and circumstances. The quantitative analysis of corpus was not the focus of the work. This work focuses on the qualitative analysis of the representation of the participating universities in relation to the attribution of roles in the STAICs. An analysis of the process types associated to Giddens’(1984) concepts of ‘role prescription’ was necessary to investigate the representation of the roles ascribed to the participating universities in the proposed categories of academic activities.

Last, particulars of both foreign and Brazilian higher education institutions are described throughout the obligatory elements, and a discussion of the findings is presented, providing examples from the data analyzed.

In this analysis, I have conventionalized the examples as follows: T1, as an example taken from the first selected STAIC; T2, as an example taken from the second selected STAIC, etc. The names of selected STAICs are displayed on Table 3.1.

4.3 Analysis of the Transitivity System of the STAICs

The total of 305 clauses in the corpus were analyzed in order to investigate transitivity patterns throughout the STAICs. As shown in Figure 4.1 Material processes represent the majority with 204 (67%) processes, followed by 93 relational processes (30,49%) and 8 (2,62%) mental.

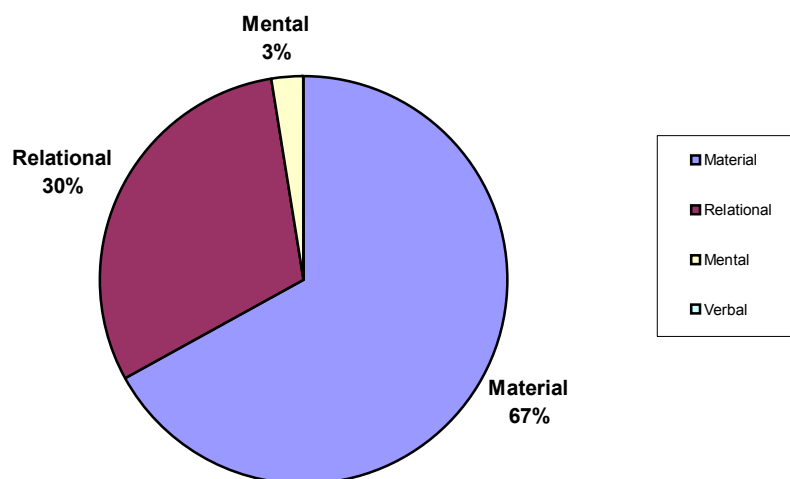


Figure 4.1 – Transitivity processes found in the selected STAICs

Considering the total number of processes, we can see that the proposals for cooperation are mainly constituted by actions of doing. And the fact that relational processes constitute the second highest percentage of processes also contributes to show that in a large number of proposals, the participants are ascribed certain attributes, and are identified and classified in certain ways.

ALL PROCESSES	
Material	67,0%
Relational	30,0%
Mental	3,0%
TOTAL	100%

Table 4.1 Table of the processes found in the selected STAICs

On a large scale, these percentages indicate that the agreements are basically constituted of material clauses.

4.3.1 Processes, Participants and Circumstances in the STAICs

4.3.1.1 The Relational Processes in the STAICs

As already specified in chapter 2 (section 2.2), relational processes are the linguistic processes that establish a relation between entities, that identify or classify things, which “relate one fragment of experience to another” (Halliday, 1994, p.107; Halliday, 2004, p.210). The relational processes such as ‘be’ and ‘have’ and ‘become’ are the most frequent ones found in the investigated STAICs. According to Halliday & Matthiessen (2004, p.213-214):

In relational clauses there are two inherent participants – two be-ers ...this tells us something significant about a prototypical configuration of ‘being’: the experiential ‘weight’ is construed in the two participants, and the process is merely a highly generalized link between these two participants (and this is pushed the furthest in register of science, administration, business and the law...).

In the investigated STAICs, participants are generally classified in relation to the performance of their established roles.

The participating Universities as Carriers

Throughout the obligatory elements of the STAICs, relational processes are used to link the participating institutions to attributes that classify them as responsible for supplying alternative sources to obtain the necessary resources for the implementation of the cooperation, as shown in the examples below:

Ex.1: Each university *is* responsible for covering the cost of its own staff and operations in the regular conduct and oversight of this academic agreement.(T10)

As already stated before, here the relational attributive process ‘is’ in example 1 above assigns to the carrier ‘each university’, i.e., each participating university, the attribute of being ‘responsible’ for the costs of the operations in the agreement (Halliday & Matthiessen, 2004, p.237).

Ex.2: For assistance in obtaining the necessary resources for the implementation of this agreement, the three universities shall *have* the support of the National Association of the Partners of the Americas (NAPA) and the Brazilian Association of the Partners of the Americas (BAPA) through the Virginia and the Santa Catarina Committees of the Partners organization.(T6).

Likewise, in example 2, the relational process ‘have’ indicates that the participating institutions, i.e., the possessors ‘the three universities’ will possess, i.e., will have the thing possessed (Halliday & Matthiessen, 2004, p. 245). This thing possessed is realized by the noun ‘the support of the National Association of the Partners of the Americas (NAPA) and the Brazilian Association of the Partners of the Americas (BAPA) through the Virginia and the Santa Catarina Committees of the Partners organization’. The support of the organizations-ownership is an attribute being ascribed to the participating universities, i.e, it represents the universities in possession of the possible sources for obtaining financial support for the cooperation projects and programs. By establishing that the universities shall have the support of these international agencies, it implies that the universities are responsible for obtaining and looking for sources of resource for the development of the cooperation activities.

Ex.3: In all other circumstances, the institution of origin will *be* responsible for the international travel costs and living expenses incurred. (T8)

In example 3, the relational attributive clause ‘be’ confers ‘the institution of origin’, i.e., one of the participating universities, the attribute of being ‘responsible’ for financing the expenses of students throughout the exchange program of activity, realized by the circumstance of cause (purpose) (Halliday & Matthiessen, 2004, p.262) ‘for the international travel costs and living expenses incurred’.

In either case whether at the host institutions' request or if it is the institution of origin's intent, the institutions will have the responsibility of financially supporting teachers and students abroad and/or will be responsible to look out for sources of finance to support the implementation of the academic activities proposed in the cooperation, including students fees, cost of living, travel expenses, etc. This implies that unless the parties in the agreement are able to seek financial support or some source of financial support, the cooperation activities will not be executed. Thus, the institutions' participation in performing their roles throughout the academic activities proposed depends upon the availability of resources and/or their eligibility and capacity to obtain the necessary financial support.

Patterns of identifying relational clauses are also found to establish roles to the parties involved in the agreement. In the examples below, the objective of the agreement is realized as 'Identified' in relational identifying clauses.

Ex.4: The objective of this Agreement *is* to foster collaboration between The University of São Paulo and The University of Calgary. (T2)

In example 4, 'The Objective of this agreement' is identified as a concrete action which will be enacted by the participating universities, realized by the material process 'to foster' and the Goal realized by the noun 'collaboration between The University of São Paulo and The University of Calgary'. The Objective of the agreement, which is settled by the parties involved, is identified in the form of responsibilities attributed to the participating universities. In the example above, they will promote the collaboration through the enactment of established academic roles.

Ex.5: The objective of this agreement *is* to combine efforts and resources of the three universities for the strengthening of teaching, research, and extension in the field of Engineering, Arts & Sciences, Human Resources and Agricultural Sciences, and promoting development in the state of Santa Catarina and the broadening of international experience of the Virginia Polytechnic Institute and State University, Blacksburg, Virginia. (T6)

The same situation is true for the Objectives in example 5 above, in which the identified ‘the objective of this agreement’ is identified as a concrete action, realized by the material process ‘combine’ and the Goal, realized by the nouns ‘efforts’ and resources of the three universities’ in order to strengthen teaching, research and extension, to promote the development of the State of Santa Catarina and to broaden international experience, realized by the purpose circumstance (Halliday & Matthiessen, 2004, p.262) ‘for the strengthening of teaching, research, and extension in the field of Engineering, Arts & Sciences, Human Resources and Agricultural Sciences, and promoting development in the state of Santa Catarina and the broadening of international experience of the Virginia Polytechnic Institute and State University, Blacksburg, Virginia’.

In example 5, to combine *efforts* in fostering collaboration is not sufficient for strengthening, promoting development and broadening of international experience. The three universities must also combine *resources* to accomplish the purpose of the agreement.

Ex.6: The objective of the present Agreement *is* to increase the academic, scientific and cultural relations between USP and UC DAVIS in identified areas where there is mutual interest in establishing specific working Agreements of Cooperation.(T8)

As in examples 4 and 5, in example 6 above, ‘The objective of the present agreement’ is also identified as a concrete action to be accomplished by the participating universities, here realized by the material process ‘to increase’ and the Goal realized by the noun ‘the academic, scientific and cultural relations between USP and UC DAVIS’ in a specific location, realized by the location circumstance (Halliday & Matthiessen, 2004, p.262) ‘in identified areas where there is mutual interest in establishing specific working Agreements of Cooperation’. The Objective of the present agreement, which is settled by the parties

involved, is identified in the form of responsibilities attributed to the participating universities. In the example above they will increase the academic enactment of established academic roles.

Ex.7: The purpose of this joint agreement *is* to facilitate the conduct of academic education, research, service, and ... that can best be accomplished in collaboration between the two universities.

In example 7, the nominalization ‘the purpose of this joint agreement’ is the identified. The purpose of the agreement is realized by the material process ‘to facilitate’ and the Goal, realized by the noun ‘the conduct of academic education, research, service and action demonstration work that can best be accomplished in collaboration between the two universities’. In order to accomplish the objectives of the agreement, the parties involved must facilitate the conduct of the academic activities proposed.

Ex.8: It is intended that *the joint projects* developed within this academic agreement will *be* concrete and specific ones... (T10)

In example 8, the projecting mental clause (Halliday & Matthiessen, 2004, p.478-480, 518), ‘it is intended that’ realizes the intention of the parties involved in the agreement over the fact that ‘the joint projects developed within the academic agreement’ realized as a nominalization, will have the attributes of being concrete and specific ones, realized by the relational process ‘be’ and the attributes ‘concrete and specific’. This implies that there is an intention of the participating universities in the development of projects as academic activities. The universities intend to have the responsibility for the development of solid and definite projects. Having discussed the relational processes, I now proceed to discuss the roles ascribed to the participating universities realized by material processes in the selected STAICs.

4.3.1.2 The Material Processes in the STAICs

Material Processes, as mentioned previously in section 4.2 in this chapter, are the processes that realize actions of doings and happenings. As shown in the examples below, material processes realize the roles to be performed by the participating higher educational institutions involved in the STAICs. As defined by Giddens (1979/1994, p.118) “role prescriptions are [...] privileges or rights and duties or responsibilities associated with specific social identities, that is, categories or typifications ‘made on the bases of some definite social criterion or criteria: occupation, kin relation, age-grade”.

The Universities participating in the selected STAICs are ascribed different academic roles realized by the use of material processes. The participating Universities may be agents of these material processes as exemplified below:

The Universities as Agents

Ex.9: Each activity to be carried out under provisions of the present agreement will be *designed* in project form ... (T6)

In example 9, the nominalization ‘each activity to be carried out’ and the circumstance of angle (source) ‘under provisions of the present agreement’ are realized as the ‘Goal’ in Subject position in a passive clause, i.e., the object of the action of being designed. ‘The universities in agreement’ are the implicit ‘agents’. This type of lexicogrammatical realization is referred to by Halliday and Matthiessen (2004) as an ‘effective clause’ of the receptive type, in which the agent has been left out.

As stated by Halliday & Matthiessen (2004, p. 298):

...If the clause is effective, since either participant can then become subject there is a choice between operative and receptive. The reason for choosing receptive are as

follows: ... [2] to make the agent (i) late news, by putting it last, **or (ii) implicit, by leaving it out.** (my emphasis)

So, the implicit agent ‘the universities in agreement’ is backgrounded by the Goal of the agreement ‘each activity to be carried out’, realized in Subject position. As explained by Fairclough (1992, p.27) passivization is a process of transformation. Passivization is “the conversion of an active clause into a passive clause” and “passivization may be associated with ideologically significant features of texts such as systematic mystification of agency: both allow the agent of a clause to be deleted.” By converting the Goal ‘each activity to be carried out’ to Subject position, it becomes the marked Theme. In example 9, the activities to be carried out throughout the development of the agreement are realized as new information.

Ex.10: The collaboration proposed by this Agreement will be *implemented* by: the exchange of professors, and of students at the graduate and undergraduate levels, the exchange of scholarly and pedagogical materials, and the coordination of research programs. (T7)

In example 10 above, the nominalization realized by the noun ‘collaboration proposed by this agreement’ in Subject position, represents the process ‘the universities in agreement proposed to collaborate’. This collaboration will be put into operation, realized by the material process ‘implement’, by the Agents realized by the nominalizations ‘the exchange of professors, and of students at the graduate and undergraduate levels, the exchange of scholarly and pedagogical materials, and the coordination of research programs’. This example shows a passivization process, in which complex processes realized as goals are transformed into nouns. The passivization process is realized by the nominalizations ‘collaboration proposed by this agreement’ realized in subject position as the Goal of the

material action of ‘implementing’, and the nominalizations ‘the exchange of professors, and of students at the graduate and undergraduate levels’, ‘the exchange of scholarly and pedagogical materials’, and ‘the coordination of research programs’ realized respectively as explicit Agents of the process.

One interesting aspect to emphasize in the example above is the use of nominalizations. The exchange of professors, students and scholarly and pedagogical material are nominalizations (from concrete relational processes such as ‘professors are exchanged’ or ‘students are exchanged’, etc), which “entifies a local and temporary condition into an inherent state or property, which can then itself become the focus of cultural attention and manipulation” Fairclough (1992, p.183) (professor exchange and student exchange can be prestigious, they can be said to bring people opportunities, fame). As Fairclough (1992) puts it “one finds nominalizations themselves taking the roles of goals and even agents of processes” (p.183). As already pointed out in example 10, the nominalizations are realized as Agents and Goal.

As Meurer (1998) explains, to describe something by using categorization devices informs not only what has been categorized but also who is describing: people make themselves understood by fitting people and events into categories, and the categories that people select to construct descriptions of the world may indicate how they understand and interpret reality.

These categories are specified in line with the interests of the participating institutions, and more specifically the Departments of the institutions involved in the cooperation, and in accordance with the cooperative program of academic activities, including research projects, teaching and extension programs.

The Universities participating in the STAICs are ascribed the role of defining and implementing the academic activities.

Ex.11: In order to attain the proposed objectives in the First Clause, Cooperative Programs of activities, including research - projects, extension and teaching will be *jointly elaborated* and ...(T4)

In example 11 above, the realization of the circumstance of purpose ‘In order to attain the proposed objectives in the First Clause’ in Theme position indicates that it is a marked choice of Theme. In this case, it is the explanation itself that is thematized (Fairclough, 1992, p.184). In order to achieve the purpose of the cooperation, the universities will be doing something. In this example, the ‘Cooperative Programs of activities, including research projects, extension and teaching’ are realized in Subject position. These programs are realized as the Goal of the process of elaborating. The participating universities are realized as implicit Agent. In this example, the use of nominalizations ‘Cooperative programs of activities, including research projects, extension and teaching’ as subject position, contributes to background the processes involved, its tense, and modality, and does not specify participants. The information ‘who is doing what to whom’ is left implicit (Fairclough, 1992, p.179).

In example 11, emphasis is given to the cooperative program of activities by realizing it both as nominalization and as marked Theme and by omitting the implicit Agent. This is a sign of prestige and power, as Halliday & Matthiessen (2004, p.657) explain “...using complex passages ‘packaged’ in nominal form as Themes. ... It has gradually worked its way through into most other varieties of adult discourse, in much of which, however, it loses its original *raison d’être* and tends to become merely a mark of prestige and power”.

Halliday & Matthiessen (2004, p.657) further state that:

Notice that when clausal patterns are replaced by nominal ones, some of the information is lost: ...and maybe other transitivity features besides. The writer presumably knows exactly what it means; but the reader may not, and so this kind of highly metaphorical discourse tends to mark off the expert from those who are uninitiated.

So, these uses of nominalization in Theme position may be meant for a group of expert writers, i.e., the parties in the agreement who formulate the STAICs, and thus it may contribute to hide certain implications inherent to these processes from the readers who are uninitiated, i.e., from the possible inexperienced readers. In addition to that, the agentless passive may have been used to “obfuscate agency, and hence causality and responsibility” (Fairclough, 1992, p.182).

Other roles are ascribed to the participating universities, including the responsibility and obligation to obtain resources, as shown in the examples below:

Ex.12: In these cases therefore, the universities *shall collaborate* in raising the funding necessary from other third party organization sources (such as foundations, governments, businesses, individuals, and other such sources). (T10)

In example 12, the Actors ‘the universities’ have the obligation to raise funds realized by the material process ‘collaborate’, and the purpose circumstance (Halliday & Matthiessen, 2004, p.266) ‘in raising the funding necessary from other third party organization sources...’ The universities have the role to provide alternative sources of resources to obtain the necessary funds to support the academic activities proposed in the STAIC, realized by the location circumstance ‘from other third party organization sources (such as foundations, governments, businesses, individuals, and other such sources)’.

Ex.13: In case of specific projects that require this kind of support, the Universities in agreement, separately or jointly, will *present* proposals concerning national or international financial agencies.(T4)

In example 13, under the condition that the development of specific research projects may require financial support, realized by the contingency circumstance ‘in case of specific projects that require this kind of support’, ‘the universities in agreement’ realized as the responsible Actors, will have the obligation to come up with the necessary scheme to acquire the resources to subsidize the specific research projects proposed in the STAIC, here realized by the material process ‘present’ and the Goal ‘proposals concerning national and international financial agencies’. So, the universities as agents in this example also have the role of supplying information where to obtain national and international sources of financial resources to subsidize the research projects to be developed as part of the cooperation activities.

Ex.14: Human, material, technological, and financial resources necessary in the execution of projects to be developed under the terms of this agreement shall be *provided* for by the three universities, as appropriate and available, from their own resources or from those that may be secured jointly or individually from outside sources or outside entities under special agreements.

In example 14 above, the necessary resources, realized as the Actor ‘human, material, technological, and financial resources necessary in the execution of projects to be developed under the terms of this agreement’, is to be sponsored by the three universities participating in the agreement, realized by the material process ‘provide’ and the agent ‘the three universities’ whether it is appropriate and available, realized by the circumstance of manner ‘as appropriate and available’, from internal and external funding agencies, realized

by the location circumstance (Halliday & Matthiessen, 2004, p. 262) ‘from outside sources or outside entities’ in accordance with the terms agreed by the universities, realized by the angle (source) circumstance (Halliday & Matthiessen, 2004, p.262) ‘under special agreements’.

So, in example 14, the Goal of the receptive intransitive clause realized by the nominalizations ‘human, material, technological, and financial resources necessary in the execution of projects to be developed under the terms of this agreement’ is mapped on to the Subject, so it is assigned responsibility and is realized as marked Theme. The noun ‘the three universities’ simply attributes the status of an Adjunct (Agent) (Halliday & Matthiessen, 2004, p. 182, 280) and is ascribed the role of provider of necessary resources as necessary and appropriate for the execution of the academic activities proposed in the STAIC. These resources must be subsidized by their own funding or by outside sources, realized respectively by the circumstances of contingency (condition) (Halliday & Matthiessen, 2004, p. 262-266) ‘as appropriate and available’ and the circumstance of location (Halliday & Matthiessen, 2004, p. 262-266) ‘from their own resources or from those that may be secured jointly or individually from outside sources or outside entities’.

Ex.15: The institutions, under the auspices of this Agreement, may jointly *sponsor* conferences, short courses, regular courses, seminars and symposia, as well as exchange publications and other didactic and research materials. (T8)

In example 15, the Actors ‘the institutions’ together, realized by the adverb ‘jointly’, are ascribed the responsibility of subsidizing the cooperation, here realized by the material process ‘sponsor’ and the Goal, which is realized by the nouns ‘conferences, short courses, regular courses, seminars and symposia’ and other academic activities realized by the additive expansion ‘as well as exchange publications and other didactic and research

materials', which includes other types of categories of academic activities. In this example, the universities are realized by the noun 'institutions' as Actors, and the material process 'sponsor' realizes the financial role ascribed to the universities. The Goal is realized by the nominalizations 'exchange of publications, exchange of didactic materials, etc'.

The use of the nominalization 'exchange of publications', to realize the Goal of the material action of sponsoring, for example, backgrounds information in relation to the academic actions to be sponsored by the universities. (Fairclough, 1992, p.179). Thus, the role of sponsoring the academic activities is realized as more important than the academic roles implicit in the nominalizations realized as the Goal of the action of sponsoring, such as 'exchange of publications', 'exchange of didactic materials'. The use of nominalizations realized as the Goal contributes to omit the academic roles ascribed in the material process of exchange, such as what will be exchanged, by whom, who will benefit from the exchange and why and how. Thus, it may be stated that by realizing these processes as nominalization and as goal, more importance is given to the financial roles of the universities in detriment of the academic ones. It is also important to note that in this example it is not clear which university, whether the Brazilian or the foreign ones, will be sponsoring the activities.

In relation to terminating the cooperation, roles are also ascribed to the universities, as shown in the examples below:

Ex.16: The agreement of cooperation may *be terminated by mutual consent or terminated* by each institution unilaterally after six months written notice to the partner. (T1)

Ex.17: This agreement can *be rescinded at any time*, by one of the Parties, by means of a previous notification, of three months allowing, however, the completion of activities (T4)

Ex.18: The present agreement *may be rescinded at any time*, by one of the Parties, by means of a previous notification, of three months allowing, however, the completion of activities. (T5)

In examples 16, 17 and 18 respectively, the Agents 'each institution unilaterally', and 'one of the parties', are ascribed the right to terminate and rescind the cooperation, realized as Goal by the nouns 'The agreement of cooperation', 'This agreement' and 'the present agreement'. This right may be granted under certain circumstances. In example 16, the right

is given upon the mutual consent of the parties involved, realized by the circumstance of concession ‘by mutual consent’. In examples 17 and 18, the right of termination is granted at any time, realized by the time circumstance ‘*at any time* of three months allowing, however, the completion of activities’, in a specific manner, realized by the manner circumstance ‘by means of a previous notification’. So, the universities are the Agents responsible for terminating the agreement.

4.4 Final Remarks

In this chapter, the analysis of transitivity structures in the selected STAICs has contributed to investigate how the academic and financial roles ascribed to the participating universities are represented in the STAICs. From my research questions posted in chapter one (section 1.1), I will first address the micro question related to the lexicogramatical analysis of the selected STAICs, and then the macro question related to the roles ascribed to the universities.

What transitivity features characterize these texts? Which processes, participants and circumstances are recurrent in the investigated agreements?

Overall the analysis of transitivity structures has revealed that relational and material processes are used to ascribe financial and academic roles and attributes to the participating universities. In examples 1 and 3, the universities are represented as Carriers of attributes, and these attributes confer the participating universities responsibility for concrete actions in order to develop academic activities. More specifically, in examples 4, 5, 6, 7 and 8, the identifying relational clauses specify the aims of the agreement by attributing the universities and institutions the responsibility for concrete actions in relation to the allocation resources and the development of academic activities.

In examples 9, 10, 11, and 12, the universities participating in the agreement are portrayed as being the omitted Agents of concrete actions who have responsibilities in relation to the elaboration, implementation and development of proposals for academic activities. In these

examples, the use of nominalization as Goals occupy Subject and marked Theme position, i.e., the nominalizations are already given information. And the new information is omitted, i.e., the agents financing, implementing and presenting resources for the implementation of these processes are omitted.

In examples 13 and 15, the universities in the agreement are portrayed as being Actors of the actions related to the roles of sponsoring the activities in the STAICs. In example 13 and 15, the Goal of the process is realized as nominalizations, which contributes to hide determined transitivity features such as who does what to whom and why. In example 14, the Goal occupies Subject position and it is realized as nominalizations. The universities are realized as the explicit Agents.

So, the financial roles ascribed to the universities are often realized by material processes in which the universities are the Actors whose aim is to subsidize, finance, sponsor the academic activities of exchange of students, teachers, conferences, etc.

In the investigated STAICs, the circumstances of location, purpose, contingency and source prevail, indicating the time in which the universities will be enacting their roles, or the purpose for which a role is ascribed.

What are the roles prescribed to the participants of this discourse?

According to Fairclough (1992, p.180), “which process type is chosen to signify a real process may be of cultural, political, or ideological significance”. In the STAICs, the processes chosen to signify the financial and academic roles ascribed to the participants of the STAICs are relational and material ones, i.e., processes of attribution, identifying and of doings and happenings. In this case, however, even the choice of relational processes contributes to assign responsibility, i.e., the participating universities are portrayed as responsible to obtain sources of financial support to subsidize the proposed categories of academic activities. They have the responsibility to obtain resources and/or to present proposals for obtaining resources for the execution and participation of its members in the different categories of academic activities proposed.

These attributes construe the universities as responsible for obtaining resources for the development of academic activities proposed in the STAICs. The participating

universities are realized as agents whose role is to obtain and/ or seek for financial support for the cooperative academic activities proposed in the STAICs.

According to the representation of the roles ascribed to the participating universities, there are several possibilities to attain the necessary resources both internally and/or externally. The enactment of the roles ascribed to the universities both as the omitted and implicit agents in the STAICs are associated to the application of resources. Therefore, the enactment of the roles proposed to the participating universities in the investigated STAICs are realized as conditional circumstances dependent upon the availability of resources. Basically, the participants in the agreement are ascribed roles in relation to the acquisition of resources in order to implement the categories of academic activities proposed, without which, no other roles may be enacted.

The participating universities are also ascribed the role of elaborator of the categories of academic activities to be developed in the selected agreements. They are also represented as collaborator in implementing the academic activities proposed, and presenter of alternatives for internal and external sources of finance. These roles are to be enacted jointly, mutually, and in agreement.

In sum, both participating universities, i.e., Brazilian and or foreign universities are specified as responsible for sponsoring the cooperative programs of activities. The participating institutions are ascribed roles related to financing the participation of their members in the proposed categories of academic activities realized by material processes and relational processes which assign the universities responsibility towards attaining resources. The enactment of these roles in agreement is an essential exigency for the development and implementation of the cooperation proposed in the selected STAICS. However, as mentioned previously, the responsibility for the fund raising is left to an implicit agent and it is considered as old (already known) information, i.e., there is no need to make this information explicit. In addition to that, the use of implicit agency, and nominalizations as agency does not overtly inform the reader which university will be responsible for allocating resources and/or sources of resources in order to subsidize which categories of academic activities and for what purposes.

Chapter 5

The Analysis of the Interpersonal Relations in the STAICs

‘Ideology’ refers only to those asymmetries of domination which connect signification to the legitimation of sectional interests. (Giddens, 1984, p. 33)

5.1. Introduction

In the previous chapter, an analysis of the system of transitivity was made in order to look at the transitivity structures aiming at investigating the roles attributed to discourse participants in the selected STAICs. The objective of this chapter is to investigate the linguistic realization in the STAICs that shape and are shaped by interpersonal meanings, thus construing power relations between discourse participants in the STAICs. The lexicogrammatical realizations in the analysis of the system of transitivity and in the Mood system reflect, respectively, how ‘reality’ is construed and how relations are established in the selected STAICs. Specifically, the writers’ choices of modality may reveal the level of commitment of participants towards the performance of the roles prescribed to them in the various categories of academic practices proposed in the investigated STAICs.

I have focused on the Mood system (Halliday, 1985, 1994; Halliday & Matthiessen, 2004), in special modulation. Modulation, as shown later in this chapter, plays an important role in construing the agreement as an interaction. It is through the choices of modulation

that the participating institutions may express the level of commitment in performing the roles ascribed to them in the STAICs.

5.2 Procedures for the analysis of modality

While in chapter 4 clauses were investigated in terms of transitivity, in this chapter the total of 305 clauses were investigated regarding modality. A lexicogrammatical analysis was made in order to investigate the modulated clauses. As mentioned in chapter 1, the purpose is to investigate the level of commitment of discourse participants, in order to look at the power relations (defined at the end of this section), concerning the enactment of the roles proposed through their lexicogrammatical choices that realize the level of commitment to the enactment of the roles established in the STAICs.

Then, in order to achieve this objective, the clauses were identified that functioned as proposals expressing obligation and inclination (modulation). The clauses chosen for the analysis were those that expressed obligation and inclination towards the enactment of the roles ascribed to the parties and the institutions involved in the academic categories of student exchange, faculty exchange, research and exchange of published material, for instance:

Ex.1: The collaboration proposed by this Agreement *will be implemented* by:

a) the exchange of professors, and of students at the graduate and undergraduate levels, b) the exchange of scholarly and pedagogical materials, and the coordination of research programs. (T7)

Then, I narrowed down the data to clauses that are realized by a finite operator and material processes, i.e, actions of doings and happenings. The clauses selected were only

those ones in which the material processes realize actions in which the social participants have the role of obtaining and seeking financial resources for the cooperation.

For instance:

Ex.2: Human, material, technological, and financial resources necessary in the execution of projects to be developed under the terms of this agreement *shall be provided for* by the three universities, as appropriate and available, from their own resources or from those that may be secured jointly or individually from outside sources or outside entities under special agreements. (T6)

I am interested in looking at the way the participation of the universities in the academic categories of activities is encoded in the STAICs through the use of modal operators *will*, *shall* and *must*, together with the material processes that realize proposals for obtaining resources and financing the academic practices proposed in the selected STAICs. For that, I included the notions of ‘rules and resources’ (Giddens, 1984) and the concept of ‘power’ provided by Meurer (2004) in the analysis of the interpersonal relations in the STAICs. My interest is to investigate power relations between the participating universities, specifically, who is represented in the STAICs as more committed to enact the roles of obtaining resources for financing the academic categories of activities proposed. So, in this study, power relations should be restricted to this perspective.

5.2.1 Overview of modulation in the STAICs

As shown in Fig. 5.1, out of the total of 305 clauses in the corpus, 140 clauses, which correspond to 45.90%, are modulated by means of the finite operator *will* (29.83%), by the finite operator *shall* (9.84%), and by the finite operator *must* (6.23%).

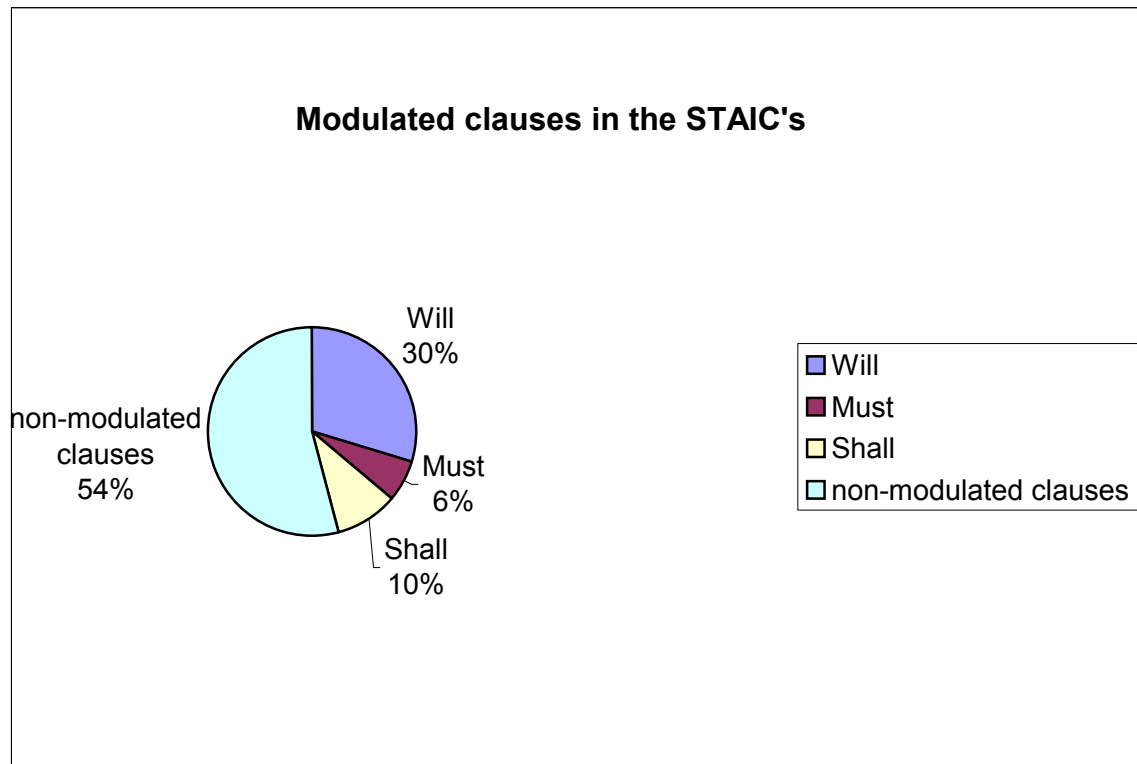


Figure 5.1 Modulated clauses in the selected STAICs

Total of proposals	305	
Will	91	29.83%
Must	19	6.23%
Shall	30	9.84%
Total	140	45.90%

5.2.2 Modulation in material processes

As stated in section 5.3, the investigated clauses were narrowed down to clauses realized by the modal operators *will*, *must* and *shall* and a material process.

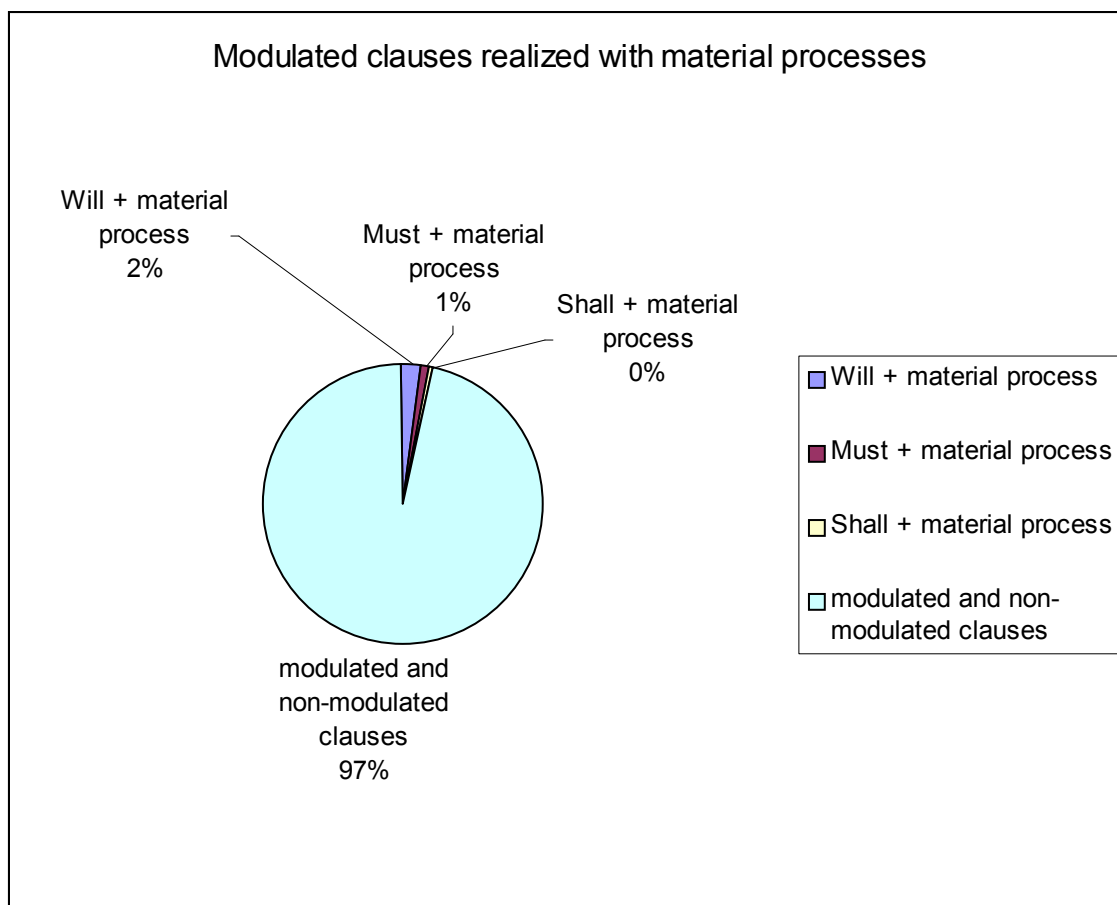


Figure 5.2 Modulated clauses with material processes

Total of proposals	305	
Will + material process	7	2.29%
Must + material process	3	0.98%
Shall + material process	1	0.33%
Total	11	3.60%

Table 5.1 – Table of the Modulated clauses

Figure 5.2 shows that from the total of 97% of modulated and non-modulated clauses, 45.90% of them are found to be modulated clauses, i.e., 11 clauses (3.6%) contained the finite operators *will*, *shall* and *must* followed by material processes that realize the social participants' obligations towards obtaining resources for the execution of the academic activities.

For example:

Ex.3: In case of specific projects that require this kind of support, the Universities in agreement, separately or jointly, *will present* proposals concerning national or international financial agencies.(T4)

The social Actors participating in the STAIC, realized by the noun ‘Universities in agreement’, the modal ‘will’ and the underlined material process ‘present’ indicate that the universities have an obligation to come up with, in a near future, alternatives where to seek financial support, realized by the goal ‘proposals concerning national or international financial agencies’.

5.3 The modal operators *will, shall and must*

As mentioned previously in this chapter (section 5.1), “modality concerns the extent to which producers commit themselves to, or conversely distance themselves from, propositions” (Fairclough, 1992, p.142).

The analysis of modality suggests that there is a willingness from the participating universities to cooperate by being committed to pay enrollment fees to the university of origin, as realized by the modal operator ‘*will*’ in the example below. The exchange students at graduate and undergraduate levels are represented as committed to pay the scholarly fees, as for example:

Ex.4: The students participating in the Program *will* pay enrollment fees to the University of origin... (T3)

In the example above, the Actors ‘the students participating in the Program’ are depicted as obliged, as settled by the participating universities, to cover for payment of enrollment fees, realized by the material process ‘pay’ and the Goal ‘fees’ to the beneficiary ‘the university of origin’. So, the individuals participating in the cooperation from the universities involved are prescribed the role of paying for university fees. The modal operator ‘*will*’ indicates that the universities in agreement have legitimated this role as an obligation of the students in order to participate in the exchange program.

As Palmer (1979, in Heberle, 1997) explains, “*will* and *shall* are generally used in relation to an envisaged or intended state of affairs, as a kind of narrative in the future”. In the selected texts they create a frame for a possible future accomplishment, i.e., to determine that specific individuals in the participating institutions will be committed to enact determined roles related to the attainment of resources for the development of the proposed academic activities in the future, as established by the institutions in agreement.

These are further examples:

Ex.5: In case of specific projects that require this kind of support, the Universities in agreement, separately or jointly, *will present* proposals concerning national or international financial agencies.(T4)

Ex.6: In these cases therefore, the universities *shall collaborate* in raising the funding necessary from other third party organization sources (such as foundations, governments, businesses, individuals, and other such sources). (T10)

These occurrences of the modal operators express a deontic meaning, i.e., Deontic modality is concerned with influencing actions, states, or events. In the agreements these modal are used as ‘possible future obligations’, which means that future doings of the participants can

be predicted, i.e., their future institutional obligations, responsibilities, privileges, rights, etc.

These modal operators contribute to express the institutional willingness and obligation towards the enactment of the roles proposed in relation to attainment of resources for the development of the academic activities proposed in the STAICs, i.e., the obligations and privileges attributed to the institutions participating in the various categories of academic activities proposed in the cooperation.

In example 7 below, the level of commitment of the participating institution is realized through the modal ‘will’ and the material process ‘take’ in which the modal ‘will’ is realized in relation to an action - ‘take’ - indicating that the Actor ‘each institution’ is inclined to perform different actions realized by the goal ‘steps’. These steps are related to the enactment of the roles of ‘publicizing and promoting the cooperation’, ‘assisting the students and teachers with administrative details’. These details may include other administrative actions such as payment of fees, etc, as shown in the example below:

Ex.7: Each Institution *will take* steps to:

- A. publicize the opportunities available under this Agreement of Cooperation and promote the development of cooperation;
- B. Assist its subunits, faculty, staff and students with the *administrative details of interchange; and,*
- C. Establish a review process for approval and evaluation of programs.(T8)

In the agreements the modal ‘must’ is used deontically as a command, and it “implies that the speaker is able to give orders in his/her own right”, the modal acquires, thus, an “obligational/coercive sense” (Hodge and Kress, 1993, p.123-4).

For instance:

Ex.8: Subject always to the availability of funds, each host institution may pay visiting graduate students (for example, out of research grants, industrial contracts, scholarships or other such funding sources), but *must* do so at a rate and in a manner consistent with payments made to graduate students in the same faculty registered at the host institution. (T7)

In example 8, the universities participating in the agreement have defined that ‘each host institution’ is obliged, realized by the modal operator ‘must’, to pay the visiting graduate students, realized by the material process ‘pay’ and the beneficiaries ‘visiting graduate students’, under the condition that there is availability of funds, realized here by the contingency circumstance (Halliday & Matthiessen, 2004, p. 262) ‘subject always to the availability of funds’ and in a way that is consistent with what they receive at the host institution’, realized by the manner circumstance (Halliday & Matthiessen, 2004, p. 262) ‘in a manner consistent with payments made to graduate students in the same faculty registered at the host institution’.

Examples such as those above help explain the fact that modals may constitute the utterer’s judgment or attitude in relation to their intent in participating in the STAICs, which plays an important role in realizing the level of commitment to the enactment of the roles established (Heberle, 1999). In the case of the examples above, both participating universities are represented in the STAICs as being equally committed to the enactment of the roles proposed as realized by the choices of deontic modality.

Next, a discussion is provided on the analysis of the level of commitment of the participating universities in the enactment of roles related to financial obligations in the various categories of academic activities proposed in the selected STAICs. I focus on the exchange of students and faculty, on joint research, and on the exchange of technical and scientific information.

Classification according to academic activities established in the selected STAICS.

Categories of academic activities proposed In the investigated STAICS.	STAICS									
	1	2	3	4	5	6	7	8	9	10
(a) Exchange of Students	X	X	X	X	X	X	X	X	X	X
(b) Faculty Exchange	X	X	X	X	X	X	X	X	X	X
(c) Joint Research Projects	X	X	X	X	X	X	X	X	X	X
(d) Exchange of Scientific Information	X	X	X	X	X	X	X	X	X	X

(a) The Exchange of Students as a category for academic activity

One of the categories of academic activities proposed in the investigated STAICs is the exchange of students. Graduate and undergraduate students from the participating universities may be part of these exchange programs. The aim is to provide students with an opportunity to have a learning experience in a foreign higher education institution. Among the roles established to the students by the universities in agreement is the role of allocating resources to cover for administrative fees, such as in the examples below:

Ex.9: The students participating in the program *will pay* enrollment fees to the University of Origin and will be exempt from paying student fees during the exchange period (T3).

Ex.10: Students *will pay* tuition fees and incidental fees to the home university and will be responsible for their own travel and subsistence expenses. (T7)

In examples 9 and 10 above, the Actors realized by the lexical items ‘the students participating in the program’ and ‘students’ are constructed as obliged, as realized by the modal operator ‘will’, to perform a concrete action, realized by the material process ‘pay’. They are obliged to pay tuition and fees, realized by the goal ‘enrollment fees’, ‘tuition fees’ and ‘incidental fees’, to the beneficiaries realized by the nouns ‘university of origin’ and ‘home university’.

In these examples, it is not clear whose perspective of enacting these roles is being represented, whether the Brazilian students’ or the foreign ones’. Likewise, it is not clear whether the home university and the origin university is a participating Brazilian university or a foreign one. There is objective modality, i.e., the speaker is acting as a vehicle for the perspective of the universities in agreement. This often implies some form of power (Fairclough, 1992, p.159). The Universities participating have the power to establish how committed students will be in relation to the enactment of the roles of paying for the administrative fees.

These examples, according to Halliday & Matthiessen (2004, p.633) may be taken as typical examples from regulatory texts in which the subjects, i.e., the students from the participating universities, are being held responsible for complying with the commands from the participating universities in agreement. The universities in agreement and according to their interests establish that the students from both participating universities are the subject and Actors that have the obligation and responsibility for the payment of administrative fees.

Even though the students from the participating universities are represented as having the same level of commitment in relation to the enactment of paying fees in order to participate in the proposed academic programs of exchange, this representation of reality may be constrained due specially to the scarcity and difficulty that countries such as Brazil may face in obtaining resources (Stallivieri, 2004).

As well argued by Stalivieri (2004, p.38) and other scholars in relation to exchange programs:

O problema que persiste ante o incremento dos programas de intercâmbio refere-se ao insuficiente financiamento para os deslocamentos, porquanto ainda deixa uma lacuna entre as oportunidades e o número de candidatos com potencial de imergir numa experiência internacional...

Also due, among other things, to the fact that countries such as the US and Great Britain have a long history of academic and scientific prestige as they shelter some of the well-known centers of excellence in science and technology, the outflow of Brazilian students to these centers tends to be bigger than that of foreign students coming to Brazilian universities. According to Faubai⁵, student exchange has rendered, for instance, to The United States alone, an amount of seven billion of dollars a year, represented by 67,8% of foreign students who finance their studies and thus contribute to the U.S. economy.

Lack of resources, however, does not seem to be an impediment for the participation of Brazilian students in exchange programs.

5.Fórum de Assessorias das Universidades Brasileiras para Assuntos Internacionais

These students seek an international learning experience as a means to get a better higher education and thus have better opportunities to compete in an international market. Most of the Brazilian students who participate in exchange programs do so funded by government official agencies such as CAPES and CNPQ (Stallivieri, 2004).

In Brazil, alone, for example, according to information from the Lattes⁶ Plattform, a research curriculum data base project from the Brazilian Ministry of Education (CNPQ), the list of Brazilian academics abroad adds up to 6.445 students (this information is taken from the data base from Lattes (CNPQ).

It is important to mention here that this is a live data-base, approximately 1,000 new curriculums arrive daily to complement the list, so I am referring to this information only for research purposes specifically accessed on May 5th 2005. From this total, 45.98% - amounting to a total of 2,964 Brazilian academics - have selected institutions in English speaking countries for their studies, such as The United States (1.667 Brazilian students), England (586 Brazilian students), Canada (409 Brazilian students), Australia (195 Brazilian students) and Great Britain (107 Brazilian students).

So, the use of objective modality may stand as a rhetorical strategy, which attenuates the real asymmetrical participation of Brazilian students and foreign students in relation to the level of commitment towards the enactment of their roles concerning subsidizing costs for student exchange programs.

6. A Plataforma Lattes é um conjunto de sistemas de informações, bases de dados e portais Web voltados para a gestão de Ciência e Tecnologia (C&T). Foi concebida para integrar os sistemas de informações das agências federais, racionalizando o processo de gestão de C&T.

The outflow of Brazilian students going outwards is bigger than the inflow of foreign students in Brazil. Therefore, Brazilian students may enact these roles more than foreign students, even though resources are scarce.

(b) Faculty Exchange as a category for academic activity

Another category of academic activity proposed in the STAICs is faculty exchange. In this activity, faculty is exchanged for different academic purposes. Among these purposes is to give short courses as visiting professors, to participate in conferences, congresses, seminars, and to develop graduate studies and research. The aim is to provide faculty a learning opportunity, which involves exchange of knowledge and development of scientific and technological research.

For example:

Ex.11: The sending Institution *must pay* for the air ticket and salary...(T1)

Ex.12: ...the host institution *must cover* for housing and meals expenses of the Faculty during the time of his/her stay in the City where the activities are carried out (T1) .

In example 11 above, the universities have agreed that the ‘sending institutions’ are the ‘Actors’ that have obligations, realized by the modal operator ‘must’ and the material process ‘pay’ for the Goals, realized by the nouns ‘air ticket of the faculty’, and ‘salary of the faculty’. According to what has been established by the participating universities, it is the obligation of the sending institutions to pay for the program of activities, travel expenses of the

faculty, and their salary, meanwhile in example 12, it is the obligation of the host institution, realized as ‘Actor’ and the modal operator ‘must’ pay realized by the material process ‘to cover’ for housing and meal expenses during the time of his/her stay in the city where the activities are carried out. However, in these examples, it is not clear which university is the host university and which is the sending university.

In the category of academic activity exchange of faculty, the host and sending institutions have an equal responsibility, i.e., obligation of covering for the costs of the exchange of faculty. However, the sending institutions must cover for ‘air ticket’ and ‘salary’, while the host institution must cover for housing and meal expenses. In either case the universities commit to sponsor the faculty expenses as participant of the academic program of activity proposed in the STAIC.

Observe example 13 below, in which the institutions participating are obliged to be responsible for costs, living expenses of the exchange personnel. Here the use of *will* demonstrates that the participating universities have established the financial stipulations as an obligation to apply to the exchange of academic personnel:

Ex. 13: The financial stipulations that *will apply* to the exchange of academic personnel are as follows:

...Other financial arrangements relating to such matters as health insurance and tuition *will be addressed* in specific working agreements. (T8)

In example 13, the participating universities as Agents are committed, realized by the modal ‘will’, to account for, realized by the material process ‘address’, issues related to the payment of tuition, realized by the nouns ‘matters such as health insurance’, and tuition’.

These financial stipulations will be specified in working agreements, realized by the location circumstance ‘in specific working agreements’.

Ex.14: Both faculties *understand* that all the financial arrangements *will have to be negotiated* and *will depend* on the availability of funds.(T9)

In example 14 above, the faculty from both participating institutions, realized by the mental process ‘understand’, agree that the participating institutions, realized as implicit Agents, have the obligation to settle the financial provisions, realized by the modal ‘will’, the material process ‘negotiated’ and the Goal ‘all the financial arrangement’. And that this

‘financial arrangement’ is obligatorily determined by the availability of funds, realized by the contingency circumstance (Halliday & Matthiessen, 2004, p.262) will depend ‘on the availability of funds’.

The analysis of modality indicates that the institutions in agreement issue a command in which the faculties are obliged to negotiate their financial arrangement in relation to the program of exchange. These arrangements, realized by the nominalization ‘all financial arrangements’ are to be negotiated depending on the availability of funds. The information omitted here is which participating university disposes of more availability of funds and for what purposes, which will be the host university and which will be the sending university.

The roles ascribed to the participating universities relate to the attaining of resources and/or presenting alternative sources for the attainment of resources to subsidize the programs of academic activities proposed in the STAICs. According to the analysis of modality, the participating universities are again portrayed as having an equal level of commitment towards the enactment of these roles. However, in reality Brazilian universities may confront the problem of lack of resources for the development of such programs, as there is more demand for cooperation than what they can sponsor in terms of scholarships, and sending people abroad.

For example, according to the literature, Brazilian students and faculty often have to look out for sources where to find financial support for financing their exchange abroad.

As well stated by Stallivieri (2004, p.56):

A escassez de financiamento é uma das primeiras dificuldades apontadas pelas instituições no que diz respeito a exequibilidade da cooperação, pois apresentam uma baixa percentagem de demanda satisfeita no momento da solicitação de apoio a projetos, bolsas de qualificação, envio de pessoal ao Exterior. Ou seja, existe um potencial muito mais elevado para a cooperação do que os recursos que estão sendo disponibilizados, o que gera uma realização expressiva da cooperação espontânea e informal.

As stated by this author, there is lack of resources available for projects, scholarships, exchange of faculty and students. Due to the fact that the potential for cooperation is higher than resources are available, there is an expressive percentage of spontaneous and informal cooperation (my free translation).

According to the report on the research groups in Brazil (<http://www.mct.gov.br/publi/pesquisa-no-brasil.pdf>), there is also an imbalance in the number of faculty moving outwards to foreign universities as compared to those coming inwards to Brazilian universities. Even though the availability of resources destined to cooperation is scarce, the outflow of Brazilian faculty to universities in foreign countries is more frequent than the inflow of faculties from foreign universities to Brazilian universities. The Brazilian faculties tend to leave the country for the purpose of carrying out graduate studies in countries such as The United States, England, France, and Australia. Foreign faculty tends to come to Brazilian universities mainly for the academic activities of lecture, and participation in research projects, short courses, and seminars.

According to the CNPQ report on the research groups in Brazil (<http://www.mct.gov.br/publi/pesquisa-no-brasil.pdf>, accessed on 5.5.2004), approximately half the number of research projects developed in Brazil shows a foreign researcher as participant. And particularly interesting is the fact that according to the CNPQ report on the profile of research groups in Brazil (<http://www.mct.gov.br/publi/pesquisa-no-brasil.pdf>, accessed on 5.5.2004), the Brazilian researchers participating in the investigated research projects were educated in the country where the foreign researcher comes from (p. 26). Likewise, in relation to research and technology, the few research groups in Brazil are concentrated in the Southeast Region of the country, with fewer groups developed in the

North and South. And in relation to the Brazilian states and respective research groups, the highest concentration of foreign researchers in Brazil are in the Southeast regions (São Paulo and Rio de Janeiro). However, in the North, the highest concentration is in the states of Amazon, Pará, Rondônia, and Acre. Also according to the CNPQ report, the reason for this may be attributed to the concentration of the investigation in the field of natural resources and environment of those regions, which are object of great interest of the international scientific community.

So, even though the examples above have shown an equal level of commitment of the participating universities in the enactment of the proposed roles, this representation does not conform to reality in relation to availability of resources and the real reasons for these exchanges, i.e., information remains omitted in relation to which university will do what, for what purposes, and why.

(c) Joint research projects as a category for academic activity

As stated previously in chapters 3 and 4, the development of joint research projects and the exchange of publications are categories of academic activities proposed in the selected STAICs (see chapter 3 – Provision Element). In chapter 4, the analysis of transitivity structure has shown that the roles established to the participating universities is to implement those categories of academic activities and obtain resources to finance them. A possible procedure to obtain such resources is the joint effort of the participating universities in attempting to seek resources through national and international agencies.

As in example 15 below:

Ex.15: In case of *specific projects* that require this kind of support, the Universities in agreement, separately or jointly, *will present* proposals concerning national or international financial agencies (T4).

In example 15, the contingency circumstance ‘in case of specific projects that require this kind of support’, refers to the fact that specific research projects require financial support. Under such condition, the Actors, realized by the noun ‘the universities in agreement’ are obliged to present the proposals for obtaining resources for the development of the joint research projects, realized by the modal ‘will’, the material process ‘present’ and the Goal ‘proposals concerning national or international financial agencies’ in order to attain the necessary resources for the development of the activities.

Ex.16: Human, material, technological, and financial resources necessary in the execution of *projects* to be developed under the terms of this agreement *shall be provided* for by the three universities, as appropriate and available, from their own resources or from those that may be secured jointly or individually from outside sources or outside entities under special agreements (T6).

In example 16, the universities as implicit agents are obliged, realized by the modal ‘shall’, to provide financial resources necessary in the execution of projects, which may include joint research projects, realized by the nominalization ‘human, material and financial resources necessary in the execution of projects to be developed’ as marked Theme, under the contingency circumstance (Halliday & Matthiessen, 2004, p.262) ‘as appropriate and available’ from the universities resources or from external sources.

Ex.17: The general Agreement does not, in and of itself, obligate either USP or UC DAVIS to any financial expenditures not explicit in the above. Such obligations, if any, *will be made* as part of the specific working Agreements and annual program plans, which may be developed under this Agreement.(T8)

In example 17, the omitted agents ‘the institutions participating in the agreements’ are obliged, realized by the modal ‘will’ and the material process ‘to make’, to consider the financial expenditures as part of their working agreements and working plans. The financial expenditures are necessary to pay for the academic activities proposed in the agreements, which may include research projects, exchange programs, and exchange of scholarly material and publications.

Ex.18: In these cases therefore, the universities *shall collaborate* in raising the funding necessary from other third party organization sources (such as foundations, governments, businesses, individuals, and other such sources). (T10)

In example 18, the universities are the Actors that have the obligation to collaborate in raising money for the implementation of the categories of academic activities (including research projects and exchange of publications), here realized by the modal operator ‘shall’, followed by the material process ‘collaborate’ and the purpose circumstance (Behalf) “in raising the funding necessary” and the location circumstance ‘from other third party organization sources (such as foundations, governments, businesses, individuals, and other such sources)’.

The analysis of modality in this example indicates that the universities have the responsibility of collaborating in different roles related to obtaining resources and/or subsidizing expenditures for the development of the categories of academic activities. The omission of the agent and the use of nominalization contribute to background other possible implications involved in the enactment of the role related to obtaining resources for the development of the academic activities proposed in the STAICs.

In relation to the categories of joint research development, unless the universities are eligible to enact their roles in relation to the attainment of resources, no academic research projects may be implemented and developed.

In the STAICs the participating universities are portrayed as equally committed to attain the necessary resources for the implementation of the cooperation. However, according to Stallivieri (2004), in Brazil, resources for cooperation and cooperation networks are scarce and difficult to be obtained.

It is important to acknowledge at this point that that the percentage of research developed by The US universities is higher than that developed by Brazilian universities. Motta-Roth (2002, p. 104) explains that “75% percent of all the research in the world is developed by the United States and Great Britain”.

In relation to the amount of research developed in Brazil, according to the Brazilian Ministry of Science and Technology, the Brazilian government through its agencies, has invested around 13 billion Reais (approximately, 4.5 billion dollars) in Scientific and Technological development:

“Segundo dados do Ministério de Ciência e Tecnologia (MCT), o Brasil investiu cerca de 13 bilhões de reais em C&T no ano 1999, correspondendo a aproximadamente 1.3% do PIB (Produto Interno Bruto) brasileiro. Percentuais próximos a este se sucederam nos anos de 2000e 2001.

Há, segundo MCT, a intenção do governo brasileiro em aumentar os investimentos no setor de C&T de modo a chegar nos 2% em 2005. Embora possa parecer arrojado este esforço por parte do Brasil, ainda é muito pouco se compararmos a números dos Estados Unidos que têm investimento superando a barreira dos 100 bilhões de dólares ao ano no setor de C&T”. (Mendes F., 2002)

Although the amount of resources invested by the Brazilian government in scientific and technological development has grown in the last years, it is still relatively small if compared, for instance, to the amount invested by IBM, which is a US company. According

to Forbes (www.forbes.com/2003/08/07/cx_ld_0807ibm.html), Microsoft spent \$4.6 billion on R&D in the year 2003. In 2002, **IBM** spent \$4.75 billion on research and development. Over the last several years IBM has brought research out of the shadows and in front of customers. Much of the focus has been on software, which accounts for 15% of IBM's revenue and one-third of its profits. Software now contributes almost half of its patents, compared with less than 10% five years ago. With more than 22,000 patents in total, IBM has been granted more patents than any company in the world for the past decade. According to Paul Horn (www.forbes.com/2003/08/07/cx_ld_0807ibm.html), IBM's senior vice president of research, IBM has generated \$1 billion in profit by licensing intellectual property developed by researchers.

From this information, it is possible to deduce that IBM, which is one US company, invests as much in research and technological development as the government in countries such as Brazil.

Research projects often require financial resources for their development. So, even though the participating universities in the STAICs are represented as equally responsible for sponsoring research projects and implementing them, in relation to the availability of resources, foreign universities such as many of those in The US may have more resources available to fund research development.

As stated by Meurer (2004, p. 93):

Without resources there can be no action. As a consequence, resources are directly implicated in the generation and maintenance of power.

One of the reasons that countries such as The United States and Great Britain may have become so powerful in relation to the development of its scientific and technological

production is an accentuated process of interaction between Universities and private companies.

It is well known that technology has been institutionalized and has become subordinated to science (Ramos, 1965). In many countries such as The United States, for example, big private companies invest in research for the creation of interesting products because their success depends on permanent research for innovation and improved technology. Examples of such companies are Du Pont Co., a Eastman Kodak Co., A General Electric, a American Telegraph and Telephone Co., that since 1925 maintains in New York the famous Bell Laboratories. However practices such as this one have been a lingering process in countries such as Brazil.

As Brito Cruz explains (Folha de São Paulo - July 23rd 2000), in relation to research and development:

‘Mesmo com o desenvolvimento de interações entre empresa e universidade, que são hoje muito mais intensas do que há dez ou vinte anos, a empresa ainda desenvolveu pouco sua capacidade interna para Pesquisa e Desenvolvimento (P&D). Temos mais de 70% dos nossos cientistas trabalhando em ambiente acadêmico enquanto nos países mais desenvolvidos a maior parte dos cientistas trabalha em empresas...’

In countries like The US there may be more scientific and technological development due to, among other factors, and according to Brito Cruz (2000) above, the fact that the majority of the scientists work in companies.

(d) Exchange of scientific and technical information and exchange of publications as a category for academic activity

In the same way as there is more research developed in English speaking countries, most of the published material is also published in ‘English’ language in the English speaking countries (Motta-Roth, 2002, p. 103).

As mentioned previously in chapter 4 (example 14), one of the roles ascribed to the participating universities in the STAICs is the establishment, implementation and design of the categories of academic activities to be developed in the agreements working plans, as in examples 1 and 2 below:

Ex. 1: In order to attain the proposed objectives in the First Clause, Cooperative Programs of activities, including *research - projects*, extension and teaching will be *jointly elaborated* and ... (T4)

Ex.2: Exchange of publications, The University of Dallas and the University of Vale do Itajaí will make available their research and working papers as far as practical to their respective designated libraries. (T1)

Although the participating universities are represented as having an equal responsibility to attain resources in order to sponsor academic activities such as joint research projects, exchange of students, exchange of faculty, and exchange of publications, this representation does not match the reality for which they are meant. In relation to the academic activity of exchange of publications, for example, Motta-Roth (2002) has contributed to show in her study on Book reviews, how the academe in The US and Great Britain publish more than those in foreign countries like Brazil. So, foreign institutions, i.e., the participating universities from foreign countries such as The United States and Great Britain, for instance, will have more publication to exchange as the exchange of scientific information is circumscribed to The US and Great Britain.

As asserts Motta-Roth (2002, p.104) in relation to the international academic scene:

“Essa parece ser uma imagem bastante endógena da ciência em geral... . Ao usar inglês como sua ‘língua franca’ para publicar e resenhar livros, a academia tenta encorajar a troca de informação científica através de fronteiras lingüísticas. O tiro sai pela culatra, no entanto quando vemos que “a troca de informação” está circunscrita, quase que exclusivamente, às fontes com títulos em Inglês, publicadas e resenhadas em países de língua inglesa. Os resultados revelam uma academia que fala inglês, especificamente situada nos EUA (e GRÃ-Bretanha), que se alimenta de si mesma e de seus sub-produtos, demonstrando não ter nenhuma necessidade da produção ou das preocupações de pesquisadores em outros países.”

So, although the participating universities are discursively represented as having the same level of commitment to enacting the established roles in relation to obtaining resources for research and exchange of published material and other possible academic activities, as realized by the choices of modal operators, some institutions have more resources than others and thus are more eligible to enact the roles ascribed to them, such as The US universities.

As stated by Meurer (2004, p.93):

Every individual and every institution holds diverse forms of power, but obviously some are more powerful than others.... .

In this sense, although the analysis of modality has shown how the participating universities are represented as having an equal and symmetrical relation through their joint proposals for the enactment of the roles ascribed, the foreign universities in the STAICs have more power to execute these roles, also due to the fact that they may have more resource availability to invest in the execution and development of the proposed academic categories of activities.

5.4 Final Discussion and Remarks

In this chapter, the analysis of modality of the selected STAICs has contributed to investigate how the participating universities are represented in terms of their level of commitment towards the enactment of the roles ascribed to them. From my research questions posted in chapter one (section 1.1), I will address and discuss the questions related to the lexicogramatical analysis of the selected STAICs, and to the macro question concerning the promotional character of the STAICs and their ideological investment.

What does the lexicogramatical evidence reveal regarding the positioning, and interpersonal relations of the participants in this discourse?

The analysis of modality in the examples examined in this chapter reveals that universities in agreement are discursively represented as equally highly committed to the execution of the roles proposed, as realized by the use of deontic modality, specifically by the modal operators *will*, *shall*, and *must*.

The universities are represented as the explicit Agent whose responsibility is to obtain resources for the development of the academic collaborative activities. In the category of faculty exchange, the universities are the Actors responsible for the payment of the faculty expenses, but still no information is provided in relation to which is the host university and which is the sending university.

The fact that the universities participating in the STAICs are represented as equally committed to the enactment of the proposed roles, does not guarantee a symmetrical participation of the universities involved in the proposals for obtaining resources for the development of the academic activities in the selected STAICs. The most powerful

participants are those that may have more availability of resources to invest in the development of the STAICs. As seen in chapter 4, the enactment of the proposed roles are realized as dependent upon the condition that resources will be available. So, the use of modulation, representing an equal level of commitment from the participating universities towards the enactment of the roles proposed contributes to background the unbalance of power relation between the participating universities in relation to the enactment of the ascribed academic roles. As Fairclough (1992, p.160) explains “there is more to modality than speaker’s or writers commitment to propositions.” Being committed to accomplish a determined end or to act in a certain way is not all that is required for the enactment of specific academic practices. One important structural property for the performance of the proposed roles may be the availability of resources (Meurer, 2004).

Though the linguistic evidences in the analysis of modality seem to point to a symmetrical relation between Brazilian universities and US universities in relation to their commitment towards the enactment of the academic roles ascribed in the STAICs, they do not reflect the reality for which they are meant.

Can the scientific and technological agreements for international cooperation be characterized as a form of promotional discourse?

The STAICs exemplify contemporary discursive practices of promotional discourse within the educational system as they constitute a form of advertising higher education institutions, and as a type of hortatory/persuasive discourse, which may motivate students to enroll in the educational institutions that promote this type of practice. As hortatory texts, they refer to how students/institutions have to act in the academic world in order to

participate in an academic international collaborative learning experience. They are normative texts because they propose solutions and/or establish norms through the prescriptions of roles to students and teachers.

According to Longacre (1983) a hortatory discourse, i.e., a text whose purpose is to modify the conduct of the receivers of the text, has four typical elements: (1) establishment of the authority/credibility of the text producer; (2) presentation of the problem/situation; (3) issuing one or more commands, which can be mitigated to suggestions of varying urgency; and (4) resort to motivation (essentially threats with predictions of desirable results). In this schema, (3) is minimal and basic, i.e., hortatory discourse cannot be such without commands/suggestions.

The participants of the discourse of the STAICs contribute to attribute to the cooperation authority and credibility. These foreign universities are organizations that have prevailed for the nature and quality of their scientific work and their scientific and technological reputation.

The problem and solution presented in the STAICs and shown in the Objective element of the GSP are associated to the process of internationalization of higher education, in which the inter-institutional agreements may contribute as strategic solutions for issues related to the future of higher education.

Analysis of modality has shown that the institutions participating are attributed the responsibility to enact roles relating to the implementation of academic activities and attainment of resources for development of research, exchange programs and exchange of publications. And although the participating universities are discursively represented as equally responsible for the enactment of those roles, this discourse does not reflect the reality in terms of power relations. As for motivation, academic prestige and professional

success are amongst the possible achievements for participating members such as students, teachers, researchers.

The STAICs may also be characterized as persuasive discourse. Persuasive discourse may be characterized as showing the following elements: 1) problem/question; 2) proposed solution/answer; 3) supporting argumentation (logic, experimentation, authority); 4) appeal (often subtle) to give credence, or to adopt certain values (Longacre, 1992).

The STAICs constitute persuasive discourse through the authority invested in the participating academic institutions, and their proposals for the possibility to obtain academic and professional success and prestige through the enactment of the roles ascribed to their participating members in the categories of academic activities. The participating universities provide credible information in relation to research, teaching and extension and are identified as solid and reputable organizations. The cooperation is a means to provide academic success. It serves as an appeal to potential students and faculty to develop their academic activities in cooperation with well-known international universities, i.e., centers of excellence in development of research and technology.

Besides constituting hortatory and persuasive discourse, the discourse of the STAICs is a form of promotional discourse. As has been pointed out in chapters 4 and 5, the representation of the roles ascribed to the participating institutions are related to their obligations towards the development and implementation of the academic activities constituting the academic collaboration, as well as to the attainment of resources and presenting alternative sources of resources to sponsor the development of the academic categories of activities proposed. As seen in the analysis of modality, unless there are structural properties such as availability of resources, which is an essential property for the development of the collaborative programs of academic activities, the STAICs stand just as

a means to promote the cooperation established between the participating universities. The enactment of the ascribed roles will fail unless resources, as an essential structural property of these organizations, may be provided for the development of the academic activities proposed.

The STAICs are an example of the colonization of discourse by promotion (Fairclough, 1995, p. 139). From a promotional perspective, the discourse of the STAICs may constitute a vehicle for ‘selling’ organizations, ideas, and people (Fairclough, 1995, p. 138). It may be used to serve as reference for an appeal to promote these universities to the potential future students and faculty applicants. As stated by Fairclough (1992, p. 138-139) “our discursive environment is characterized by more or less overt promotional intent”.

I will now address the last question 6, namely, what ideological assumptions may be hidden in this type of discourse?

Social practices and discursive practices are both the recipient and the foundation of wider discursive, social, sociological and ideological processes. According to Wodak (1996, p. 15) there is an interrelationship between a particular discursive event and the situation, institution and social structure that frame it. So, discourse derives from the social domain. It is a form of social practice (Fairclough, 1995, p. 7). Through the analysis of language use, it is possible to unveil how texts work within sociocultural contexts. It is possible to scrutinize the relationship between language, ideology and power.

In the analysis of how the participating institutions represent reality through the attribution of academic roles, and how the relations between the participating institutions are established in relation to their level of commitment to enact these roles, it is possible to

observe through the analysis of modality that the participating universities are discursively represented as having an equal level of commitment towards the enactment of the roles, as already stated. However, as also mentioned previously, this is not so in actual practice, where the foreign universities may have more availability of resources for development of research, teaching and extension, as well as may have more sources where to attain resources due to their prestige as centers of excellence in research and technology, which may provide conditions for them to be more powerful in terms of effective participation in the proposed academic activities as opposed to their counterpart Brazilian universities. So, the analysis of the discourse of the STAICs reveals that, to a great extent, these texts obscure power relations between the discourse participants.

According to Fairclough (1995, p. 1-2) “[p]ower is conceptualized both in terms of asymmetries between participants in discourse events, and in terms of unequal capacity to control how texts are produced, distributed and consumed in particular sociocultural contexts.” He further adds that “the power to control discourse is seen as the power to sustain particular discursive practices with particular discursive ideological investments in dominance over other alternative (including oppositional) practices.” (ibid).

Even though the analysis of modality in the STAICs has shown that the universities are represented as equally committed towards the enactment of the roles ascribed to them, this does not coincide with the actual practice. The relation between foreign universities and Brazilian universities concerning their level of commitment towards the enactment of the roles ascribed may be asymmetrical, pointing, as stated above, to relations of power between discourse participants.

The establishment of roles for the participating universities in the STAICs constitute different practices which characterize rules that govern the STAICs and their development.

Nevertheless, the establishment of rules and the intent of the participating universities in committing to these rules, do not assure the effective success and development of this practice, i.e., unless the participating Brazilian and foreign institutions may be able to attain the necessary properties such as available resources, no ascribed academic roles may be carried out. In this sense, the discourse representation of the universities in the STAICs obfuscates the actual practice of the STAICs, considering that the foreign universities may be in an advantageous position in attaining resources to participate in the development and implementation of the proposed collaborative academic practices.

As explained by Giddens (1979/1984):

Resources, [...] are not just additional to rules but are the means whereby rules are realized in specific social practices'. Resources are the "bases" or the "vehicles" of power, comprising structures of domination, drawn upon by parties to interaction [...] Individuals and institutions draw upon such 'bases' to engage in social practices, to carry out different roles, and 'to control' the course of action and interaction with other individuals and institutions.

The US universities may dispose of more availability of resources in order to implement and sponsor the STAICs and respective collaborative programs of activities. Thus, power is supported by forms of ideology, which contributes to maintain relations of domination.

According to Fairclough (1995, p.17), [...] by tying ideology to power, one alludes to asymmetrical relations of power, to domination. In terms of analysis of the lexicogrammar of the STAICs, the hidden relation of domination established through the apparent symmetrical relation of power portrayed and represented by the equal level of commitment of the participating universities towards the enactment of the proposed academic and administrative financial roles, shown through the analysis of transitivity structures and modality, contributes to background the ideological loads. It backgrounds issues related to power and prestige of the foreign universities.

As explains van Dijk (1998, p. 187):

...universities and the whole system of education are among the most complex, elaborate and pervasive ideological institutions, [...] Geared mainly [...] towards the reproduction of the dominant ideology of society. The structures, strategies, and practices of these social institutions need not only be oriented by practical reasons of organization, efficiency, the distribution of roles or resources or the attainment of goals. They may also reflect and facilitate ideological concerns. Lessons, textbooks, exams, assignments, corrections and sanctions in educational institutions, thus, may be organized partly by ideologically based aims to teach and inculcate 'the right things', including the right ideologies in the first place.

This is true not only of lessons, textbooks, exams, etc, but of the STAICS as they constitute higher education academic practices, as further elaborated by van Dijk (1998, p.209) below:

Finally, within the vast field of the social actions being accomplished in or by discourse, we find a number of interaction strategies that express, indicate, reflect or construct specific social relations between participants, and which therefore are ideologically relevant. It is especially at this level of analysis that social position, power, and control of social members may be exercised, opposed, mitigated or emphasized. [...]among many other ways text and talk may be controlled. In all these forms of control, it is the social position of participants, and more generally the ideologically based interpretation of context that is thus being enacted, expressed or constructed in talk.

The investigation of the participation of the universities in the STAICs reveals much about the participants social positioning, their beliefs and the power relations existing between these groups. Among them are the facts that foreign universities, unlike the Brazilian universities, may have more resources available to invest in science and technology. They have more scientific and technological development as they may dispose more of available resources to invest in research development. As already mentioned (Motta-Roth, 2002), the US develops 75% of the research developed in the world. The foreign universities, specifically, US universities are well known centers of excellence in scientific and technological development sponsored by government and private enterprises.

Due to these facts, these universities may lodge a high number of exchange students and faculty who seek education and professional success.

Ramos (1965) criticized, from a socio political perspective, the beliefs of the Brazilian intellectual layer, as he explains that:

O pensamento sociológico no Brasil tem sido um fenômeno explicável pelas leis daquilo que Gabriel Tarde chamava de imitação-moda. No caso, a assimilação da produção sociológica estrangeira se verifica sob o alcance do “efeito de prestígio”. O “efeito prestígio” é algo análogo ao efeito de demonstração de J. S. Duesenberry, utilizado pelos economistas. O conhecimento dos padrões de vida dos povos desenvolvidos leva todas as classes sociais nos países subdesenvolvidos a pretenderem consumos relativamente altos, que dificultam a acumulação de capital. Nos países periféricos, a propensão a consumir, na escala e modalidade equivalentes às dos países industrializados, dificulta o seu desenvolvimento, pois desestimula a poupança, assumindo caráter predatório. Propõe-se aqui a expressão “efeito de prestígio” para explicar a vida intelectual das camadas letradas das regiões subdesenvolvidas. Esse efeito se verifica por força de um contato a distância entre as pessoas e os grupos, em que determinados modos de ser e pensar, particulares a um povo, são idealizados, e, graças ao prestígio desse povo, propagados, como dogmas, aos outros povos. A atitude dos sociólogos que, diante da produção sociológica importada se comportam como os *snobs* em face dos figurinos das capitais da moda, também pode ser explicada pela psicologia da “coqueteria”. Uns e outros, em diferentes graus, é certo se movimentam no âmbito da consciência ingênua. ...” (p. 128)

Ramos proposes the expression ‘efeito prestígio’ (prestige effect) to explain the life of the intellectual layers of developing groups such as Brazil. He explains that this effect may be verified through a distant contact between people and the groups, in which determined ways of thinking particular to that people are idealized, and due to the prestige of that people, they are propagated, as dogmas, to other people. Ramos criticizes the subsidiary character of foreign scientific production and its influence on Brazilian universities.

So, the discourse of the STAICs may be ideologically invested as this practice incorporates significations that contribute to sustain restructuring power relations and domination.

As also questioned by Fairclough (1992, p.91):

Is all discourse ideological? I have suggested that discursive practices are ideologically invested in so far as they incorporate significations which contribute to sustaining or restructuring power relations. Relations of power may in principle be affected by discursive practices of any type, even scientific or theoretical.

The STAICs are one more discursive practice in which significations are incorporated that contributes to sustain power relations.

Chapter 6

Concluding Remarks

Overall, this study has developed a qualitative analysis and describes examples of transitivity and modality to explore this in terms of asymmetries between Brazilian and foreign universities on the basis of a more social oriented analysis. This last chapter focuses on my concluding remarks, insights and suggestions for further research, limitations and pedagogical implications.

6.1 Overview of findings

In chapter 1, I present the methods used in this study. I also present the general objective of my study which is to analyze 10 selected scientific and technological agreements for International cooperation (STAICs) in order to describe the generic structure potential (GSP) of the genre consisting of its obligatory and optional elements, as well as my specific objectives of investigating the representation of the roles ascribed to discourse participants in those STAICs and their level of commitment towards the enactment of these roles.

In chapter 2, I present the theoretical rationale and other related literature used as framework in this research, namely, Systemic Functional Linguistics, Genre Studies, Generic Structure Potential, Language and Context.

In chapter 3, I present the analysis of the generic structure potential of the STAICs following a Systemic tradition (Hyon, 1996). For Systemic Functional Linguists, context relates to the context of situation (register), concerned with the variables of field, tenor and mode and the context of culture (genre). In Halliday's model, social context comprises the social semiotic systems of register and genre. Register "describes the immediate situational context in which the text was produced" (Eggins, 1994) that relates the different uses of language in different situations. According to Hasan (1989) "a genre is a relatively stable category of text, characterized by specific formal properties as determined by its generic structure potential (GSP or SP for short)". In her theoretical framework, genres reflect specific social functions and are inserted within a contextual configuration.

The analysis carried out and reported in this study has shown that the following obligatory and optional elements make up the GSP in the selected STAICs: The Heading (H) is obligatory and is realized by the names of the participating institutions and their intent to cooperate as well as by attributive relational processes that provide information about the participating institutions and their respective location. In the element Objective (O), the institutions are represented as showing their mutual objectives towards the cooperation. This element is obligatory and may iterate in different elements of the agreements, and it does not follow a specific order. The realization of the Scientific Areas for cooperation (SA) is an optional element, which may occur in different order throughout different elements in the agreements.

The Provisions (P) is an obligatory element in the agreement that proposes the establishment of programs of academic activities. The Provision element states the categories of academic practices to be implemented by the participating institutions. Moreover, in this element, there may appear information such as the statement of Academic Categories of Activities (AA) and students and teachers' Participatory Norms (PN) such as norms for programs of exchange of students and teachers, and research projects. Included in these proposals are the responsibilities, rights, privileges, duties of the participants involved in those academic categories, i.e, the roles ascribed to the social participants of the STAICs; elaboration of Deadlines and Chronograms for the execution of those categories (DC); and Costs for participation in the categories and coordination of categories are optional elements (R).

The Final Terms of the Agreements unfolds into the Duration of the cooperation (D), which establishes the period for the development of the academic cooperation. It is an obligatory element. Likewise, the element Resources (Re) that involves the specifications related to the proposals for the attainment of resources for the execution of the cooperation is an obligatory element. The Amendments or Modifications (A), which is also an obligatory element, consists in the establishment of the possibility for the Modification of the agreement at the level of its clauses. The element Termination or Rescission (T) is an obligatory element that establishes the date in which the cooperation is to terminate. The Other Legal Implications (OL) element and Review (Rv) element are optional and involve respectively the establishment of norms on discriminatory matters and cooperation review. And last, the Signature element (S), which is also an obligatory element, encompasses the signature of the responsible personnel. The signature represents the participating institutions' legal commitment to what has been declared in the STAICs and establishes the

responsibilities of the universities for the publishing of the STAICs in different languages relative to the countries of the parties involved.

In chapter 4, I present the analysis of the system of transitivity associating to it the notions of ‘role prescriptions’ from Giddens (1984) Structuration Theory. The notion of role prescriptions can be associated with Halliday’s (1994) ideational metafunction and it provides a basis for the analysis of the linguistic representation of the roles attributed to the participating universities in the STAICs throughout the obligatory elements of the STAICs generic structure potential. Both participating universities, i.e., Brazilian and/or foreign universities are specified as responsible for sponsoring the cooperative programs of activities. The participating institutions are ascribed roles related to financing the participation of their members in the proposed categories of academic activities realized by material processes and relational processes which assign the universities responsibility towards attaining resources. The enactment of these roles in agreement is an essential exigency for the development and implementation of the cooperation proposed in the selected STAICS.

In chapter 5, I consider the results from the analysis of transitivity in relation to the roles attributed to discourse participants and also examine the interpersonal relation between discourse participants through the analysis of the Mood structure, associating to it notions of ‘rules’ and ‘resources’ (Giddens, 1984) in order to provide an account of the level of commitment of the participating universities towards the enactment of the roles ascribed to them in the selected STAICs. A discussion is provided which accounts for power relations (Meurer, 2004) between discourse participants, the promotional character and the ideological implications (Fairclough, 1992) of this discourse.

6.2 The roles represented in the STAICs

Resources are one of the essential properties that allow these cooperation practices to exist. According to the analysis of transitivity (chapter 4) one of the most important roles attributed to the institutions involved in the selected STAICs is the attainment of resources for the implementation and development of the academic categories of activities proposed. Conversely, it is this structural property (Giddens, 1984) that may allow the effective participation of the institution and its members to carry out their different academic roles (obligations, duties, responsibilities, privileges) in the collaborative academic practices. As Meurer (2004, p. 93) explains: “without resources there can be no action. As a consequence, resources are directly implicated in the generation and maintenance of power”, as discussed next.

6.3 Power relations in the STAICs

Considering the results from the analysis of transitivity, in special the linguistic representation of the roles accredited to discourse participants which relate to designing, elaborating, implementing and subsidizing the academic activities in the STAICs, I investigated the representation of the universities in relation to their interpersonal relations through the analysis of the Mood structure, more specifically, modulation in order to look at their level of commitment towards the enactment of the roles ascribed to them in the STAICs. In this study, the notions of ‘rules’, ‘resources’ and ‘power’ (Giddens, 1984) were used together with the lexicogrammatical analysis as support for a more social oriented analysis of the genre. My concluding results point to an apparent symmetrical relation

between discourse participants in relation to their level of commitment towards the enactment of the roles accredited to them. However, in actual practice this representation does not suit the reality for which it is meant. According to the literature on the subject (Stallivieri, 2004; Motta-Roth, 2002; Mendes, 2002; Ramos, 1965), in the categories of academic activities in the examined data, there may be asymmetry in power relations between the discourse participants. For instance, in relation to the academic activities of exchange of students, faculty, research projects and exchange of publications, the US universities may dispose of more resources than Brazilian participating universities to implement the different categories of academic activities proposed. The fact that resources are scarce for Brazilian universities may cause difficulty to enact the roles of designing, elaborating and implementing the academic activities proposed in the STAICs (Stallivieri, 2004). So, the representation of the participating universities as having an equal status in the level of commitment towards the enactment of the activities proposed in the STAICs also contributes to obfuscate the STAICs ideological investments in this discursive practice and the relation of domination, which has prevailed in the international academic scenario (Motta-Roth, 2002; Ramos, 1965). In terms of genre analysis, this finding points to the need of looking at another level of analysis, i.e., the investigation of the contextual level.

6.4 The promotional character of the STAICs

This study characterizes the discourse of the STAICs as a hortatory and persuasive type of discourse (Longacre, 1992, 1993) and shows how the discourse of the STAICs has a promotional character (Fairclough, 1992). The STAICs exemplify contemporary discursive practices of promotional discourse within the educational system as they constitute a form

of advertising higher education institutions, and as a type of hortatory/persuasive discourse, which may motivate students to enroll in the educational institutions that promote this type of practice. As hortatory texts, they refer to how students/institutions have to act in the academic world to participate in an academic international collaborative learning experience in order to become academically and professionally successful. They are normative texts because they establish norms through the prescriptions of roles to students and teachers.

Besides constituting hortatory and persuasive discourse, the discourse of the STAICs is a form of promotional discourse. As has been pointed out in chapters 4 and 5, the representation of the roles ascribed to the participating institutions relate to their obligations towards the development and implementation of the academic activities constituting the academic collaboration, as well as to their obligation in relation to the attainment of resources and presenting alternative sources of resources to sponsor the development of the academic categories of activities proposed. As seen in the analysis of modality, unless there are structural properties such as availability of resources, which is essential for the development of the collaborative programs of academic activities, the STAICs stand just as a means to promote the cooperation established between the participating universities. The enactment of the ascribed roles will fail unless resources, as an essential structural property of these organizations, may also be provided for the development of the academic activities proposed. The STAICs are an example of the colonization of discourse by promotion (Fairclough, 1995, p. 139). From a promotional perspective, the discourse of the STAICs may constitute a vehicle for ‘selling’ organizations, ideas, and people (Fairclough, 1995, p. 138). It may be used to serve as reference for an appeal to promote these universities to the

potential future students and faculty applicants. As stated by Fairclough (1992) “our discursive environment is characterized by more or less overt promotional intent”.

6.5 Limitations and suggestions for further research

In relation to the generic structure potential, I look at the obligatory elements, and within those, for the linguistic analysis, I have focused on the structure of the clause as exchange and as representation; and I have browsed beyond the clause in terms of metaphors of transitivity, as well as glimpsed at the clause as message. However, other Hallidayan constructs may be investigated in the STAICs that may bring in interesting results, such as a deeper study of the lexicogrammar which involves the clause as message, i.e., an in-depth study of the thematic structure of the clauses, pinpointing the given and new information. Also, an in-depth study of the modality markers may provide interesting results (I looked at *will*, *shall* and *must*). Further theoretical studies that explore aspects of a sociological theory as tools for the contextualization of discourse analysis is necessary to describe the relationship between language use and social context.

Another important issue in this research relates to the subjective character of language – the difficult choices in the lexicogrammatical analysis of the STAICs. Often due to the inherent ambiguity of lexicogrammar many Mood and transitivity structures present borderline features, which may cause diverging interpretations in terms of choices of processes, as well as in terms of modality analysis.

6.6 Pedagogical implications

This study corroborates the notion of bi-directionality between language use and related social practices (Fairclough, 1992; Halliday, 1978) by using a systemic functional framework for the analysis of the generic structure potential of the STAICs. This study has corroborated to show from an ideational perspective, i.e., analysis of transitivity associating the notions of roles, resource, and power from Giddens (1984) structuration theory, how the practice of cooperation is discursively represented through the analysis of the roles ascribed to the participating universities. Likewise, from an interpersonal perspective, the analysis of modality has contributed to show how the universities are represented in relation to their level of commitment towards the enactment of the roles accredited to them in the STAICs.

In view of the multidisciplinary character of this study, it may be relevant for different areas of study, including instructional education and Applied linguistics.

It may be used as a source of information for the offices of international relations in the universities. Also, it may be important for them as to how to write the STAICs in order to standardize them among the universities offices. In terms of teaching writing, it is an important source of information as it shows a more critical perspective to the study of writing which accounts for the bi-directionality between text and context. In terms of SFL, it shows the need to investigate not only text but the contextual level as well. In relation to teacher education, it brings information that may contribute for them to rethink their position in the Brazilian educational context. And it also contributes to the study of grammar and text as a teaching tool as it provides examples of the systemic analysis of the STAICs

It is relevant to these areas as it uses notions from sociological theories in the analysis of the GSP of the STAICs to complement the framework provided by SFL in order to contribute to expand the knowledge on the interrelationship between language and cultural context.

Considering the importance attributed to the STAICs and the positioning of Brazilian universities in these texts (UNESCO, 2004)(www.unesco.org/iau

[/internationalization/pdf/internationalization.pdf](#) – accessed 12.12.2003), it is important that, even though Brazilian universities may face and confront structural difficulties such as scarcity of resources to enact the roles ascribed to them in the STAICs, sustainable research drawing from the available local governmental resources be continuously developed and technological resources like the Internet also be used as a medium for cooperation.

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Appendix I

Appendix II

